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ABSTRACT

The Bilingual Education Program, designed to help children having limited English-speaking ability develop greater competence in English, become more proficient in their dominant language, and profit from increased educational opportunity, is described in this manual for project applicants and grantees. Eight chapters include a review of: (1) purpose of the Bilingual Education Program, (2) program requirements and policies, (3) program development considerations, (4) preliminary proposal: procedures for submission and review, (5) a plan for implementation of a bilingual education program: procedures for submission and review, (6) application for continuation: procedures for submission, (7) reporting requirements, and (8) funding policy and fiscal concerns. An appendix contains information on grant terms and conditions for application. (RL)

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PROGRAMS UNDER BILINGUAL EDUCATION ACT (TITLE VII, ESEA)

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
OFFICE OF EDUCATION

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MANUAL FOR PROJECT APPLICANTS AND GRANTEES

April 20, 1971

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Applicants and grantees must meet all program and fiscal requirements of ESEA Title VII and of Title 45, Chapter 1, Part 123, of the Code of Federal Regulations.

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PROGRAMS UNDER
BILINGUAL EDUCATION ACT (Title VII, ESEA)

Manual for Project
Applicants and Grantees

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

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CHAPTER ONE

PURPOSE OF THE BILINGUAL EDUCATION PROGRAM

A. OBJECTIVES

The Bilingual Education Program is designed to meet the special educational needs of children who have limited English-speaking ability, who come from environments where the dominant language is one other than English, and who come from low-income families. It is intended that children participating in this program will develop greater competence in English, become more proficient in their dominant language, and profit from increased educational opportunity. Though the Title VII, ESEA program affirms the primary importance of English, it also recognizes that the use of the children's mother tongue in school can have a beneficial effect upon their education. Instructional use of the mother tongue can help to prevent retardation in school performance until sufficient command of English is attained. Moreover, the development of literacy in the mother tongue as well as in English should result in more broadly educated adults.

B. DEFINITIONS

1. Bilingual Education

Bilingual education is the use of two languages, one of which is English, as mediums of instruction for the same pupil population in a well-organized program which encompasses part or all of the curriculum and includes the study of the history and culture associated with the mother tongue. A complete program develops and maintains the children's self-esteem and a legitimate pride in both cultures.

2. Primary Target Population

The primary target population has substantial numbers of children, ages 3-18, who have limited English-speaking ability and come from low-income families (families with incomes below $3,000 or those receiving payments through a State plan program of aid to families with dependent children as approved under Title IV of the Social Security Act) in environments where the dominant language is one other than English.

3. Target Group

The term "target group" refers to all children who will participate in the bilingual education project.

4. Project Area

The project area is the legal attendance area served by the school or schools from which the target group is selected. The project area may be the total area served by the local educational agency or any subdivision of it.

C. CHARACTERISTICS OF BILINGUAL EDUCATION PROGRAMS

- English is recognized and taught as a second language to children whose dominant language is one other than English.
- The children's dominant language is recognized and taught as a first language; therefore, children normally are introduced to reading and writing in that language as soon as they are ready.
- The children are taught one or more academic subjects in their dominant language, at least until they have mastered enough English

to enable learning in English.

- The children whose dominant language is English are taught the dominant language of the other children.
- Provision is made for increasing the instructional use of both languages for both groups in the same classroom.
- The children are taught the history and cultural heritage which reflect the value systems of speakers of both languages.

CHAPTER TWO

PROGRAM REQUIREMENTS AND POLICIES

A. PROJECTS ELIGIBLE FOR FUNDING

Title VII, ESEA funds are available for exemplary pilot or demonstration projects in bilingual and bicultural education in a wide variety of settings. These projects should demonstrate how bilingual education can improve the general educational program. The Title VII Program should stimulate and encourage the development and operation of (1) new and imaginative programs, services, and activities which have not previously been provided for the target group; or (2) programs, services, and activities which will be substantially improved by means of the project. Classroom-centered research activity also may be supported when proposed as an integral part of a complete bilingual program. (The term "classroom-centered" refers to activities which are of direct instructional benefit to children, whether or not they occur inside a classroom.)

Pilot and demonstration projects may be funded which are classroom-centered and involve activities of establishing, maintaining, and operating bilingual education programs. Activities may include, but are not limited to:

- Bilingual instruction in the regular school program.
- Bilingual instruction to impart to students a knowledge of the history and culture associated with their languages.
- Establishment of closer cooperation between the school and the homes of children in the bilingual program.

- Early childhood education designed to improve children's potential for learning.
- Adult education, particularly for parents of children participating in bilingual programs.
- Preservice and inservice training for teachers, teaching assistants, teacher aides, counselors and/or other educational personnel serving in bilingual education programs.
- Bilingual education for part-time pupils, dropouts, or potential dropouts who need bilingual instruction.
- Bilingual education conducted by accredited trade, vocational, or technical schools.
- Development and dissemination of special instructional materials.

B. ELIGIBLE APPLICANTS

Proposals for grants may be submitted by: (1) a local educational agency or combination of such agencies, or (2) a local educational agency or agencies applying jointly with an institution of higher education.

When a joint application is submitted with a single budget, the local educational agency will be considered the primary grantee with respect to financial assistance. If separate budgets are submitted, the Commissioner may grant financial assistance to each of the joint applicants to conduct its part of the integral program. However, the components of such a program must be well-defined and appropriately interrelated. An institution of higher education may receive financial

assistance only for components which are essential to the local educational agency's program.

C. PARTICIPATION

1. Major Program Focus

In the distribution of funds, Title VII directs the U.S. Commissioner of Education to give highest priority to States and areas within States which have the greatest need for bilingual education programs and to consider the relative ability of local educational agencies to provide the needed services and activities. (Under this Title the term "States" includes, in addition to the 50 States of the Union, the following: the District of Columbia, Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands.)

Title VII was designed for the special benefit of children with limited English-speaking ability in places where English is the exclusive or dominant language of instruction. Therefore, a program for Spanish-speaking Puerto Rican children could qualify for Title VII support in mainland United States, but a program for Spanish-speaking children could not receive Title VII funds in Puerto Rico, where Spanish is the customary language of instruction.

2. Children Not From Low-Income Families

In an area eligible for a Title VII project, children whose dominant language is one other than English are eligible to participate, even though they are not from families earning less than $3,000 per year.

3. Children Whose Dominant Language Is English

Children whose dominant language is English and who attend schools in the project area should be encouraged to participate, and provision should be made for their participation in order to enhance the bilingual and bicultural aspects of the program.

The number of monolingual English-speaking participants will depend upon various factors including the size of the project, the present school enrollment ratio of these students to children whose dominant language is not English, and the degree of parent and student interest in the program.

Under no circumstances should children whose dominant language is not English be segregated for the entire school day for purposes of classroom instruction when monolingual English-speaking children attend schools in the project area. However, a limited period of grouping for specific instructional activities is not precluded.

4. Children in Nonprofit Private Schools

In an area eligible for a Title VII project, provisions must be made for the participation of children attending nonprofit private schools whose educational needs are of the type which the Bilingual Education Program is intended to meet. Provisions for participation must be consistent with the number of such children in the project area. As far as is practicable, programs and services to such children should be provided on public premises. If there is no need for such provisions, applications must so explain.

Provisions for services to children in nonpublic schools shall not include payment of the salaries of nonpublic school teachers or other regular employees of such schools, except for services performed outside their regular hours of duty and under public supervision and control; nor shall such provisions include financing regular school instruction for nonpublic schools, or leaving equipment on nonpublic school premises, or remodeling nonpublic school premises.

None of the funds made available under Title VII may be used for religious workshops or instruction.

5. Children Enrolled Part Time

Applications must provide for participation in the program of children in the project area whose dominant language is not English and who are not enrolled on a full-time basis. This group includes, for example, children from migrant families who are not students of the same school for an entire academic year. If there is no need for such provisions, applications must so explain.

6. Adults

In addition to programs for children, Title VII projects may also serve adults and should actively involve parents of children participating in bilingual programs.

D. APPLICATION AND APPROVAL PROCESSES: PRELIMINARY PROPOSAL, A PLAN FOR IMPLEMENTING A BILINGUAL EDUCATION PROGRAM, AND APPLICATION FOR CONTINUATION

There are two stages in the submission and approval of proposals for bilingual education projects to be funded under the terms of Title VII, ESEA. In the first stage, applicants submit preliminary proposals to the U.S. Office of Education and the appropriate State educational agency. After review by USOE and outside consultants, and recommendations by the State agency, applicants whose proposals have been favorably rated are requested to prepare "A Plan for Implementing a Bilingual Education Program" (hereafter referred to as "the Plan"). These second stage Plans are reviewed by USOE, outside consultants, and the State agency, and final selections are then announced by the U.S. Commissioner of Education.

Grant awards under Title VII normally are made for periods of 1 year. If progress is satisfactory and the terms and conditions of the grant are met, the project may be renewed annually for periods of up to 5 years, assuming that sufficient funds are appropriated by Congress. Therefore, recipients of Title VII grants must submit yearly applications for continuation grants to USOE and the appropriate State agency at least 60 days prior to the expiration of each year's grant. For procedures for submission of continuation applications, see page 143.

Those applicants selected to develop a Plan will be given the opportunity to request technical assistance from the U.S. Office of Education and to obtain a developmental grant.

The number of Plans approved will depend upon the quality of each application and the availability of funds. The selection of a preliminary proposal for second stage development does not imply a commitment of funds for the development or operation of a Plan.

E. ACCOUNTABILITY FOR RESULTS

Every local educational agency accepting a grant under Title VII will be held responsible for the achievement of specific objectives using certain procedures during a specified period of time, and for the cost effectiveness of the instructional and management procedures involved in the project. Major requirements for accountability include the following:

1. Objectives must be stated in terms of desired student performance. Obviously, a school system cannot determine the extent to which its objectives have been achieved unless its goals, embodied in the objectives, are clearly defined and measurable.

2. A school system must recognize its own capabilities and deficiencies and must seek to utilize appropriate technical assistance in an effort to develop and operate an effective program.

3. All projects must provide for an independent educational accomplishment audit of the project, to apprise school officials of the validity of their own evaluative processes and data.

CHAPTER THREE

PROGRAM DEVELOPMENT CONSIDERATIONS

A. ASSESSMENT OF NEEDS

To qualify for support under ESEA Title VII, school districts seeking grants for bilingual education projects must demonstrate that they have a high concentration of children from such environments who are also from families with incomes of less than $3,000 per year or from families receiving payments through a program of aid to dependent children. They must also demonstrate that the needs of these children are not being met with programs previously attempted or currently underway. In addition, data must be provided to indicate that the project area--the attendance area of the school or schools in which the project will be located--has the highest concentration of such children in the LEA. If this is not the case, special justification must be provided as indicated on pages 99 and 121.

An adequate assessment of needs justifying a bilingual education project will include four areas of investigation:

1. Numbers and location of children from environments in which the dominant language is not English.
2. Evidence concerning the linguistic competence of the children.
3. Evidence that the educational needs of the children are not currently being met.
4. Evidence concerning the socio-economic level of their families.

For each area of investigation and type of data submitted, the following information should be provided:

1. Source of the data.
2. Means by which it was obtained.
3. Scope and objectives of the data-gathering operation.
4. Sampling techniques, if used.
5. Reliability of the data.
6. Validity of the data.

<u>Numbers and location of children from environments in which the dominant language is one other than English</u>

The following types of data for the community may indicate the extent of individuals who do not speak English:

1. Census and other demographic data identifying Spanish-surnamed, Spanish-speaking, or minority racial groups (in an area with American Indians or Chinese, for instance).
2. Immigration statistics identifying a particular national group entering an area.
3. Migratory labor statistics.
4. Community surveys.
5. Estimates by community organizations.
6. Observations of the community, such as conversations of passersby, ethnic stores or advertisements written in another language, etc.

These data must be supplemented by actual or projected school enrollment statistics showing numbers of children from backgrounds where

English is not the dominant language as a percentage of the total school enrollment of the LEA and as percentages of the enrollments of the individual schools which serve these children. These statistics must be as accurate as possible because they will form the basis for selection of project schools and for program development. They will also constitute one of the crucial factors in the Office's decision as to whether or not to award a grant.

Evidence concerning the linguistic competence of the children

In order to justify a bilingual education project, evidence must be presented that the other language is, in fact, the dominant language of the children to be served. Instances in which children speak English imperfectly because of a foreign language background but do not speak the foreign language themselves at home would justify a program in English as a second language, but not a bilingual program. The extent of English language deficiencies also must be delimited as carefully as possible since this will determine the kinds of services to be proposed.

Evidence concerning linguistic competence will be provided by the following:

1. The results of language tests in both English and the other language.

2. Research findings.

3. School surveys by bilingual individuals based on classroom observation and interviews, etc.

4. Reports of teachers and principals.

5. Observation of children in their homes.

Evidence that the educational needs of the children are not currently being met

The above data will serve to substantiate eligibility for a bilingual education project. In addition, the identification of English language deficiencies through objective tests will support the assumption that the proposed student participants have learning difficulties related to their language background which are not overcome by present programs. This assumption should be verified for these children and for other members of the target population who have recently passed through the school system. Statistics in several of the following areas should be provided, showing comparisons between the target population and the population in the LEA whose native language is English:

1. Results of achievement and other standardized tests.

2. Results of locally prepared tests.

3. Results of testing for special education purposes, i.e., speech defects, mental retardation, etc.

4. School attendance records.

5. The dropout rate.

6. Research findings.

7. Reports of teachers and others based on classroom observation of performance.

8. Unemployment rates for 18-25 year olds.

9. Selective Service records of rejections for mental reasons.

10. Percentage of high school graduates continuing their education in colleges or technical schools.

11. Sociological studies of the aspiration levels of various community groups.

12. Community surveys indicating attitudes of representative members of the English-speaking population toward the target population and of members of the target population toward their own group.

Evidence concerning the socio-economic level of the families of the children

Evidence should be presented that there is a high concentration of children from families with incomes below $3,000 per year or receiving payments under a program of aid to families with dependent children under a State plan approved under Title IV of the Social Security Act. Data relating to family income may be obtained from one or more of the following sources:

1. Census data.

2. Unemployment statistics.

3. Community surveys.

Assessment of needs with regard to English-speaking children in the target area

Although the primary justification for a bilingual education program will be the needs of the target population children, the

importance of attitudes of the English-speaking population toward the target population should not be overlooked. Native speakers of English who live in an area with many speakers of another language also must be prepared to live in the bilingual and bicultural community. Therefore, monolingual English-speaking children also must have the opportunity to become bilingual and to share the understanding and appreciation of the minority culture which can only be gained by learning its language. In addition, the early opportunity to learn another language will greatly enrich their intellectual development and will provide them with skills and insights which they can use later on in the community, in business, in education, in government, or in international service.

Commitment to bilingual education

A collection of data demonstrating that there is a concentration of children from a background where English is not the dominant language and whose educational needs are not currently being met does not point to a bilingual education program as the inevitable solution. If needs have been carefully assessed, those involved in planning will have included parents and other community leaders and representatives of the target population in the task of considering various ways to further the education of these children. However, only if the group reaches a consensus that instruction should be provided in both languages (including instruction in subject areas other than language), should further planning move toward the preparation of a Title VII proposal.

Once the commitment to bilingual education has been made as a solution to the educational deficiencies identified in the assessment of needs, the planning group should determine what kind of bilingual education system should be developed and should agree upon long-range goals, 5-year objectives for the bilingual education project under Title VII, and objectives for the first year of the project.

B. PROGRAM PLANNING AND DESIGN

A school district planning a bilingual education program will want first to study bilingual programs in operation, research data, data from their own experience in pilot programs, and suggestions from the community before determining what pattern of bilingual education will be adopted. Some of the basic alternatives are:

1. Equal time for both languages

The dominant language would be used for subject area instruction during part of the day, and English would be used for the rest of the school day.

2. Instruction based on the child's dominant language

Evidence indicates that children who enter school for the first time are doubly hindered by being thrust into a new situation and having to communicate in an unknown language. For this reason, the major part of the instruction would be given in the home language. One class in English-as-a-second-language and one subject area taught in English could be provided.

3. A strong English-as-a-Second-language program

The younger the child, the easier it is for him to acquire a second language. A language arts course might be offered first, and one or two subjects taught in the dominant language. All other instruction could be in English.

Whatever decision is made regarding the pattern for the bilingual program, it must be remembered that the goal of bilingual education is a student who functions well in two languages on any occasion.

Though the legislation was written with the intent of benefiting children who come from homes where English is not spoken, it is essential that they not be segregated from the rest of the school population, even if this kind of grouping might seem to make instruction more effective. The evidence from past programs is that children who were isolated from their peers who spoke English were linguistically isolated for that period and that such separation by ethnic background tended to create two school groups for the duration of school life. Ideally, the program would bring the two communities together within the school and for outside activities. Some districts have a "buddy" system in which both students and families are paired. The English-speaking child becomes a tutor for the child who speaks another language, and the latter, in turn, becomes a teacher of his native language.

Children whose dominant language is English may gain many benefits from participation in a bilingual program. Too often these children, although living in a community which has another culture, remain totally isolated from that culture and consequently are never fully a part of the community in which they live. A bilingual program familiarizes them with the other culture and enables them to use a second language not only within the school, but in the community--an educational asset

throughout life. While most schools tend to have ethnocentric curricula, the bilingual school assists children, regardless of their own background, to understand the cultures of groups. It is important for a child who speaks a different language at home to learn that this language is an asset to him away from home. He is likely to discover this as he sees English-speaking children learning his language.

Language learning - elementary school

One of the principal objectives of all bilingual programs is the use of language skills for the acquisition of information and the development of other skills. Programs that begin with young children utilize their ability to acquire language, largely through meaningful use of words, and are based on the premise that both syntax and lexicon are learned in the process of trying to communicate ideas important to the children; thus, language learning in the school emphasizes development of interests and new concepts which require a natural expansion of vocabulary. The young child generally enters school with a good control of all the basic structures of a language learned pretty much by his own method, and since he will probably be eager and ready to speak, the bilingual program should encourage him to do so and provide such opportunities apart from the regular periods assigned to language arts. The frequency and intensity of communication among children is manifest in schools which have children from several different language groups. When these children are grouped apart from the English-speaking children for instructional purposes, they speak in the group's dominant language instead of English, even though they receive no formal

instruction in that language. No matter what language is being learned, the pupil needs to become involved in it through having a powerful incidental flood of authentic language directed to him. This talk is not necessarily discursive or totally unstructured. Directed by the teacher, it is designed to elicit sentences and lexical items which students have acquired in a more formal situation. The teacher also provides situations for children to work together on projects such as those in science. If they are learning science through the second language, they should be practicing it during these activities. The teacher purposefully moves children from group to group so that the more proficient students might stimulate more varied speech from others.

Language arts classes are provided both in English and Spanish. As in all elementary school language art classes, children are grouped routinely from time to time to work on special materials; however, children should never be grouped solely by ethnic background. Because all children come to school with different levels of language ability, children whose home language is not English may speak English as well as some children who speak only English.

Language learning for the older student

Older students have more difficulty learning a language, having lost the young child's ability to acquire it easily. In many cases, they will pronounce the new language according to the sound system of their first language, that is, with an accent. Nevertheless, if the older student can be made to understand his language-learning problems and

the benefits of corrective drills, he will undertake them with considerable motivation. However, no matter how well-constructed the drills are and how well the student executes them, if he lacks sufficient opportunities for conversation with others, his time and effort will be wasted. For this reason, contacts with the students speaking the other language should be maximized. A language laboratory staffed with a supervisor who is an English-as-a-second-language specialist can give students the varied numbers and types of needed drills, so that segregated "remedial" classes are not necessary. A pattern of peer tutoring may be established in high schools, with students of one language being tutored in return for offering assistance in the other.

Formal language instruction--elementary school

The small portion of the day devoted strictly to English-as-a-second-language is primarily a period in which new language habits are established by concentration upon the problems pupils may have in using English in other classes and informally. Materials have been prepared based on a contrastive analysis of the sound systems and structures of English and the other language. The authors of these materials have selected the most frequently used basic sentence patterns in English and have arranged them in the form of drills and games for children. In some cases audio-visual materials are available, teachers adapt and prepare such materials themselves. English-speaking children who have difficulty using correct English or speaking clearly can participate in such exercises along with children whose knowledge

of English is limited. As a matter of fact, the same methods used in teaching English as a foreign language are employed in school programs to help children establish better speech habits, even in schools where all students come from English-speaking homes.

The Spanish-as-a second language or other oral class for whatever language is being taught will use methods similar to those of the ESL class. Drills and activities designed for oral practice will be aimed toward students whose first language is English; however, all children may profit from some practice sessions.

Other traditional language arts activities in the two languages--oral composition, reading, and writing--will be a part of the curriculum. The plans for each will depend upon the pattern for bilingual education chosen by the school district. For example, where intensive oral work in the language other than English is given at the beginning of the year, reading instruction might be given to all students in the first language. Some bilingual programs for the upper elementary grades offer instruction for all children the first semester in a language other than English in order to raise the level of proficiency for English-speaking children as well as to offer an opportunity for students to learn other subjects in their dominant language. Different bases for grouping may be used to spark student interest. For example, a group of one English-speaking student and three students whose dominant language is Spanish should allow the native Spanish speakers to learn a great deal about their own language in teaching it to another, and the English-speaking student to benefit from special tutoring.

Formal language instruction - older students

Older students whose dominant language is not English require individualized instruction,since they vary greatly in their ability to speak, read, and write English. Some of these students, like their English-speaking classmates, have passed through the elementary grades and junior high school handicapped in all their course work by an inadequate command of English. Other students living in ports of entry are recent arrivals or have been in contact with English for only 1 or 2 years. School districts have found that it is a mistake to believe that all of these students can be helped together in a remedial class. Individual differences in oral skills can be met by a variety of programmed courses in the language laboratory. Oral practice can be supplemented by tutors working with small groups. Teen-age students are ready for a diagnosis of their language problems and should be given exercises and take-home tape recorders as part of a planned program for improvement. They need to know the purposes of practice materials and be able to recognize when they have reached a new level of proficiency.

Reading assignments, if they are to be valuable for students, also should be individualized. Students should not be given reading materials with many words which they have never heard and do not understand. Writing assignments, of course, are coordinated with other skills.

Even students with English as a first language have different abilities in English as well as different interests. They, too, could use materials especially designed for them in the language laboratory and could be given taped lessons for home practice.

Instruction in the other language can follow the same pattern as English instruction. The English-speaking students will have difficulty with the new language but no less than that of recent arrivals from another country studying English for the first time. The differences in the development of language skills of students who speak another language are as great or greater than those of English-speaking students. For example, Spanish-speaking students living in California might have studied all curriculum work in Mexico prior to entering the bilingual program; other students might speak Spanish at home but be unable to read in it. For this reason, programs must be tailored for small groups or for individuals in order to be effective.

Students in a bilingual program receive the same kinds of training and take the same courses as other students in traditional schooling. The only difference is that they acquire knowledge and learn skills through two languages. Whether the courses include social studies, sciences, art, music, physical education, or something else deemed important to the age level, it is important that materials used for instruction in a language other than English be authentic; that is, that a history book be written by an historian who is both a native speaker of that language and an accomplished writer. A collection of reading

materials related to the subject should be available for students on a variety of levels of difficulty and topics of interest.

A teacher of science who is teaching in Spanish, for example, should have had training in science in Spanish if he is to operate effectively in the classroom. Similar educational qualifications should be required of instructors teaching subjects in a language other than English.

Since Title VII legislation emphasizes the preservation of the special heritage of ethnic groups, materials should be provided which not only feature the country where the group originated, but which show their contributions to the history of this country and their culture as it exists now, a mixture of both cultures. Music, art, drama, and literature offer additional opportunities for experiencing the culture of a people.

Displays of works produced by students in their courses or plays and dramas in both languages could serve as program material for community groups and might bring together people from two cultures to learn from each other.

C. GOALS AND OBJECTIVES

1. Long-range Goals

Too seldom in education have programs been designed, changes made, or innovations installed which are specifically related to the goals or desired products of the educational system or activity. Just what is it that the individual or group should know, feel, or be able to do as the result of participation in a given educational program? Without a clear answer to this question, adequate criteria for choosing among instructional methods and continually testing the validity of short-term activities will be lacking.

By their very nature, bilingual education programs are directed toward several groups: Children from a non-English-speaking environment, English-speaking children, teachers, parents, and others for whom a given program may be designed. Consequently, long-range goals should be written for each group to be affected by the program. The following long-range goals might be considered in the development of a bilingual program:

- Students from the non-English-speaking environment will have an adult literate command of both languages.
- Students from the English-speaking environment will have an adult literate command of both languages.
- Students from the non-English-speaking environment will progress through the school program at a rate commensurate with that of English-speaking students of comparable ability.

- Students from the non-English-speaking environment will feel pride in their language and heritage.

- As great a percentage of those from the non-English-speaking environment as from the English-speaking environment will graduate from high school.

- As great a percentage of students from the non-English-speaking environment as from the English-speaking environment will enter college.

- Students from the non-English-speaking environment who choose not to pursue higher education will have the skills to secure employment in an English-speaking culture.

- All participants will value a multicultural society.

- A bilingual staff of teachers and administrators, many from the minority culture, will have developed the attitudes and skills to maintain an effective bilingual program.

- Parents from the non-English-speaking environment will participate as fully in school-related activities as those from the English-speaking environment.

2. Five-year Program Objectives

Five-year program objectives should indicate the extent of program development and the degree of progress toward the achievement of long-range goals that can be realistically expected by the end of a 5-year period for each group the bilingual program is designed to affect.

With regard to students, 5-year objectives should provide such information as the grade levels for which bilingual education will be provided at the end of the 5-year period; the nature and extent of curriculum development which will have been completed, by language; the degree of competency in each language expected for

children participating in the program for the full 5 years; and the projected number of students who will have been served by the program.

With regard to the teaching staff, including aides and assistants, 5 -year objectives should include such factors as the content areas of the training program and the training pattern (e.g., summer institute, weekly/monthly, after-school/Saturday training sessions, complete masters program at a local university, etc., if possible; the degree of competency in each language expected for specific groups of teachers after 5 years as a result of the training program; and the projected number that will have been served.

With regard to parents, the 5 -year program objectives should indicate the variety of activities which will be planned to involve parents in the bilingual education program, such as a specific kind of parent education program, parent-teacher conferences, and school-community advisory groups. Objectives should also state the expected level of parent participation after a 5 -year effort.

In addition, 5 -year program objectives should include expectations for any other group to be directly served by the project.

3. First-year Program Objectives

First-year program objectives should consist of those 5-year objectives or parts of 5 -year program objectives which are to be attained during the 1st year of the bilingual program. These objectives will include such areas as the instructional program, curriculum development, staff training, and parent-community involvement.

D. COMPONENT DESIGN

The following outline may be used to structure your program to include components of most bilingual programs, i.e., instruction, acquisition and development of materials, staff development, and community involvement. Depending upon particular needs of each project, other components may be added.

Under the instructional component, major learning areas are designated, including dominant language-language arts, second language, culture and heritage, and content (subject) areas, with a provision for any others. Measurable performance objectives should be formulated for process and product for each of these learning areas. The suggested outline indicates activities in each area which when applicable should require at least one performance objective. The sample chart provides a format for presentation of performance objectives for process and product, procedures and instruments for evaluating them, the person responsible for collecting data, a time schedule, and data collection, analysis and reporting procedures. Other presentation formats may be used, but the essential elements mentioned above must be included.

The components for acquisition and development of materials and staff development are structured with the same major learning areas: dominant language-language arts, second language, culture and heritage, content areas, and any others. Applicable activities for each are outlined. Again, measurable performance objectives should be formulated for each activity for both process and product when applicable. (See sample chart, pages 130, 131).

The community involvement component as structured in this outline is separated into three areas: the community at large, the community in an advisory capacity, and parents in instructional (student), participatory (aides or other staff personnel), and advisory capacities. Measurable performances objectives should be formulated for each activity for both process and product when applicable. (see sample chart, pages 130, 131.

Functional Components

Instructional Program

Acquisition, Adaptation, and Development of Materials

Staff Development

Community Involvement

Other

Suggested Structure for Component Design

INSTRUCTIONAL PROGRAM

I. Dominant Language-Language Arts

   A. Listening

   B. Speaking

   C. Reading

   D. Writing

II. Second Language

   A. Listening

   B. Speaking

   C. Reading

   D. Writing

III. Culture and Heritage

   A. Of Dominant Language

   B. Of Second Language

   C. Self-Concept

IV. Content

   A. Through Dominant Language

   B. Through Second Language

V. Other

ACQUISITION, ADAPTATION, AND DEVELOPMENT OF MATERIALS

(For students [instructional materials] and for staff [training materials])

I. Dominant Language-Language Arts

A. Identification and review of existing materials

B. Selection of materials appropriate in present form

C. Selection of adaptable materials

D. Determination of need for materials not yet in existence

E. Development of adaptable materials

F. Development of new materials

II. Second Language

A. Identification and review of existing materials

B. Selection of materials appropriate in present form

C. Selection of adaptable materials

D. Determination of need for materials not yet in existence

E. Development of adaptable materials

F. Development of new materials

III. Culture and Heritage

A. Through F above

IV. Content

A. Through F above

V. Other

A. Through F above

STAFF DEVELOPMENT

I. Dominant Language-Language Arts

A. Classroom Teachers

1. Knowledge related to the intended area of instruction
2. Methods related to the intended area of instruction
3. Strategies of evaluation (testing techniques)

B. Paraprofessional Personnel

1. Knowledge related to the intended area of instruction
2. Methods related to the intended area of instruction
3. Strategies of evaluation (testing techniques)

C. Instructional Support Personnel (supervisors, management, professional personnel other than teachers, evaluators)

1. Knowledge related to the intended area of instruction
2. Methods related to the intended area of instruction
3. Strategies of evaluation (testing techniques)

D. Curriculum Development Specialists

1. Through 3 above

E. Other

1. Through 3 above

II. Second Language

A. Classroom Teachers

1. Knowledge related to the intended area of instruction

2. Methods related to the intended area of instruction

3. Strategies of evaluation (testing techniques)

B. Paraprofessional Personnel

1. Through 3 above

C. Instructional Support Personnel (supervisors, management, professional personnel other than teachers, evaluators)

1. Through 3 above

D. Curriculum Development Specialists

1. Through 3 above

E. Other

1. Through 3 above

III. Culture and Heritage

A. Through E above

IV. Content

A. Through E above

V. Other

A. Through E above

COMMUNITY INVOLVEMENT

I. Community at Large

   A. Information

II. Advisory

   A. Instruction

   B. Participation

III. Parents of Target Population

   A. Instruction

      1. Classroom

      2. Observation

      3. Home Reinforcement

      4. Adult Education Courses (dominant and second languages)

   B. Participation

   C. Advisory

E. PERFORMANCE OBJECTIVES

Accountability is largely dependent upon reliable and valid measurement of the project's accomplishments. Reliability and validity, in turn, depend considerably upon program planners' skill in determining and stating project objectives. Because objectives stated in vague, general terms are subject to a mass of interpretations which make it impossible to determine whether the desired results have been achieved, it is essential for those who plan projects to state their objectives in terms of specific measurable types of performances.

Definition

Performance objectives are precise descriptions of educational goals in terms of desired behaviors, outcomes, or material items which can be reliably, validly, and objectively measured. For purposes of Title VII program planning, performance objectives are required for two distinct areas of program design--instructional or operational products and instructional or operational processes--and may be written for management processes. "Product" refers to a behavior--cognitive, affective or psychomotor--or a material item, for example, a curriculum unit on Puerto Rican culture or a diagnostic test of proficiency in Portuguese. "Process" is the direct or indirect means by which the product is obtained.

Essential Elements

Performance objectives should include the following essential elements:

1. The individual or group who is to perform in the desired way.

   The objective "developing an individualized 1st grade arithmetic

program in Cantonese" is an incomplete statement according to this standard because it does not tell who will do the developing.

2. The behavior to be demonstrated or product to be developed.

The desired behavior should be described as precisely as possible as an action or a product that can be observed. An objective such as "a student will be aware of the contributions of Mexican culture to American life" does not meet the specified criterion. The words "be aware" may convey a variety of meanings to those charged with evaluating whether the objective was achieved. Other indefinite, imprecise behavioral terms are "understanding," "knowing," "appreciating," "thinking," "enjoying," and "grasping the value of." Objectives which describe clearly observable actions are not subject to so many interpretations. There can be little question whether someone is "speaking," "writing," "listening," "constructing," "reading," or "attending." A third category of terms is not so easily distinguished from the others. Such words as "demonstrating," "participating," and "utilizing" describe visible forms of behavior but may mean different things to different observers. For example, two observers may not agree whether a child is "participating." Does that mean asking questions in class or joining a glee club or folk dancing group to present another culture to the total school population? A clear definition should be provided.

3. Either the direction or level of accomplishment or simply the minimum acceptable level of performance. This element is of critical importance to a later assessment of the effectiveness of a project activity, a component, and the entire program. The difficulty of

setting performance standards is generally recognized, because there are risks in attempting to predict what a program will accomplish. Considerable care must be taken to establish the performance standard on the basis of past experience, research findings, and previously collected baseline data. Adequate baseline data are particularly important; without them, predictions become pure guesswork. Among the questions those who plan programs must consider are whether baseline data are appropriate to objectives, up-to-date, responsive to short-term change, reliable and objective, and gathered under conditions comparable to those of the program to be evaluated. If baseline data are unavailable, inadequate, or irrelevant, provision must be made to collect appropriate data as early as possible in the operation of the project.

The difficulties of formulating performance standards are greater when the planning must provide for the development and measurement of affective behaviors, such as increase in self-confidence or other changes in attitudes. If the assessment of needs presents a problem for which adequate performance objectives cannot be readily constructed, the problem should not be shelved. This practice might lead to undue emphasis upon the more mechanical, easily designed program objectives rather than acceptance of the critical challenges pinpointed in the assessment of needs. Such problems should be openly recognized and tackled, not avoided. Moreover, the fact that cognitive and affective factors are so closely associated obligates those who plan projects to consider both types of behavioral change. Motivational forces might interact with program activities to make an explicit academic

behavioral change in students from a minority subculture. These forces might also be a valid product outcome of a project activity. Every effort should be made to frame objectives in language which enable meaningful evaluation. Refinement of objectives must be a continuing task so that results of program activities can be predicted with increasing accuracy.

4. The determination of the units of performance measurement and the means of measurement. If the desired performance is a student's statistically significant improvement in an academic skill, the criterion of statistical significance is incomplete without some reference to the unit of measurement (number of correct answers to test questions or number of correct responses to verbal commands in the second language), and the means for accomplishing the measurement (X test or X list of commands). Likewise, a demonstration of acquisition of skills by a teacher requires some identification of the unit of measurement (20 points out of a total of 30 on a rating scale) and the means of measurement (videotape viewed by a panel of teachers utilizing the rating scale).

5. The primary conditions under which the performance is expected to be measured. Conditions might include restrictions placed upon the project participant during the performance of specified behaviors, for example, a time limit imposed on a student taking a test or the absence of assistance from a second person when the student is expected to repeat a memorized conversation in a given language. Conversely, conditions which might be "given" or supporting services which would be

available as resources to assist in the attainment of the expected behavior or product might be specified. Programmed materials for use by the students and a teacher aide in a regular classroom setting might be pertinent "givens" during an observation of teacher performance. Since there are many conditional factors to be arranged in every measurement situation, objectives should specify those which are unusual or of particular significance.

Performance Objectives: Product Samples

As indicated previously, performance objectives must be written for both products and processes and for all who participate in the program. It is not sufficient to develop objectives only for student groups and to limit performance predictions to students. To the extent that the project is designed to affect teachers, administrators, community residents, or others, performance objectives should be written for them.

For example, an inservice training course might be designed to give teachers in a Spanish-English bilingual program a working knowledge of the phonological and syntactical interference of Spanish in the learning of English and the methodology for employing this knowledge in the classroom. An appropriate performance objective might be the following:

> While teaching standard English pronunciation and sentence structure, the teacher will include special oral drills and pattern practice to enable students to distinguish among and produce sounds and sentence patterns which differ from those in their native language.

Teacher performance will be assessed by the professor who taught the course and the bilingual coordinator, using a checklist of specific desired behavioral outcomes developed as a part of the college course syllabus. Failure to provide special classroom drill in three or more of the major items on the checklist will be considered an unacceptable performance level.

If the assessment of needs identifies general community indifference to the school program and the value of education, one performance objective might be the following:

Parents of participating students will demonstrate support for the project by initiating two meetings with project staff during the year to discuss their children's progress or problems, and by volunteering and working on one project-organized community dissemination effort which has as its purpose the development of greater support among residents of the target community. Measurement of parents' response will be based on records kept by project staff.

Another product might be in the form of materials such as curriculum units. An objective might be stated as follows:

Curriculum specialists working with selected bilingual teachers amd teacher aides will develop a sequential 7th and 8th grade Hispano-American language and culture curriculum (teaching language through the medium of readings about the culture). During the 1st year, six major units consisting of a total of 24 chapters, together with teachers manuals, will be developed

with the aim of enabling the student to gradually acquire the ability to read, write, and speak Spanish, and to know the major cultural and economic achievements both of the peoples of Middle America and of the Spanish-speaking population of the United States. A preliminary evaluation of the quality of the materials will be made by a team of cultural anthropologists, specialists in the Middle American area, and specialists in American Spanish. Checks will be made to see that the major achievements of each of the seven countries, as included in basic survey histories of this area, are discussed in the materials. All lexical items must be of standard Spanish as identified in the most recent Spanish English edition of Williams or Velazquez. The suitability of the materials for achieving the stated goals for students will be judged through their use in a pilot program. At the end of the trial period, students should reach an acceptable level of proficiency in Spanish based on the established norms of the MLA Proficiency Test. Teacher-made tests on content will be developed and a minimum level of achievement will be set. The evaluator of the project will provide instruments to measure students interest in the materials.

Performance Objectives: Process Samples

Every product is the result of a process which might also be evaluated. Process evaluation enables a continual evaluation while the project is being conducted, not just at its conclusion or when outcomes can be observed, and allows problems to be detected as they arise and corrective action to be taken before the product is negatively affected. Defining processes in performance terms and collecting evaluative data on them also makes it possible for other school systems to replicate successful practices. Writing performance objectives for particular processes is the first step in process evaluation. Without such statements, there is no adequate way to assess the exact nature of the process or its effectiveness until the results (products) can be examined.

Performance objectives should be stated for the operational process (the means of attaining specific product objectives). The operational process may be separated into a number of more carefully defined processes for various project components, i.e., learning, teaching, involving, developing, and the like; and performance objectives may be written for each process. An acceptable substitute approach is to identify the major groups--teachers, curriculum specialists, teacher aides, parents--who contribute to the process, and to define performance objectives for each group.

The product objective of one project activity may become the process objective of another. For example, a product performance objective in the inservice training course preparing ESL teachers for the pronunciation difficulties likely to be encountered by children who speak Spanish becomes a process performance objective for the teacher in an activity whose product objective is a specified level of student proficiency in oral English.

In the same activity, a process performance objective for the teacher aide might be as follows:

> The teacher aide working with the teacher in the ESL class will spend at least one-third of her time with individuals and small groups of students experiencing difficulty, providing a model of standard English pronunciation and practice in problem areas identified by the teacher. The performance of the aide will be assessed by the teacher and by the project evaluator using a record of time spent in tutorial activities, an observation of

the similarity between teacher prescription and teacher aide services, and a comparison of student scores on pretests and posttests.

In an instructional program designed to produce equal competency in two languages, one of the process performance objectives for the teacher might be as follows:

During the part of the day devoted to French language and culture, the teacher will speak only French (standard), even when responding to questions asked in English, and will display in the classroom those objects and pictures which serve to create a French atmosphere. Teacher behavior will be assessed by the bilingual coordinator observing and listening to classroom activities from a one-way viewing platform and by a subcommittee of the community advisory council which will make two monthly visits to the class.

Operational process objectives must also be written for curriculum specialists, detailing the preliminary steps they are to take in avoiding unnecessary duplication of existing materials, in developing linguistically sound or culturally accurate materials, and in providing for testing and revision of materials.

For both products and processes there may be questions as to the minimum number of performance objectives needed for a given project in one project year. Since performance objectives are primarily management tools providing for assessment of progress towards clearly defined goals, they should be written for <u>each critical step</u> or element of the activity. For example, the number of process performance

objectives required for a specific activity or component depends upon the number of distinct parts of the process considered essential to achieving the desired product. In the French-English bilingual program mentioned above, program planners would probably write a performance objective for the teacher in the correct use of specific texts and of instructional methods prescribed for use with such texts. If the same teacher is expected to interact with the children's parents with a given frequency and in a particular way, these interactions also would be specified in a performance objective. If students are expected to achieve a certain minimum score on a standardized language test which measures achievement in the areas of speaking, listening, reading, and writing in a second language, then specific performance objectives for each of these areas must be defined. Or if the student from the minority culture, given the opportunity to learn through the medium of his dominant language, is expected to achieve in all subjects at a level commensurate with that of his English-speaking peers, then it would be appropriate to write performance objectives for each subject area so that problem areas might be identified and given special attention.

It rests with the local project manager to convince Federal program managers that objectives are sufficiently specific for the project to function effectively. Those responsible for specific activities within the project components will undoubtedly find it useful to write performance objectives in much more detail for their own purposes.

F. EVALUATION

Introduction

An evaluation is required as an integral part of every project. Its purpose is to enable those who make decisions concerning the project to continuously assess how well objectives are being met, to identify which factors are contributing to success or failure of achieving objectives, and to permit timely revision of plans so operational deficiencies may be corrected.

Moreover, the information provided through evaluation must enable staff in the funding agencies to identify which projects warrant continuation as models that can be replicated. To serve these purposes, an evaluation plan must be comprehensive; that is, it must provide for an assessment of progress in all project components--instruction, staff development, materials acquisition and development, and community involvement--which interact in the effort to improve student performance. It must be concerned not only with the achievement of products but with the effectiveness of the processes, both operational and management, by which these products are to be achieved.

Because of the complexity and technical nature of evaluation, many districts will want to seek outside technical assistance in planning, installation, or operation of the evaluation, particularly if new instruments or unfamiliar methods are required. LEA's may also wish to examine some of the recent literature about evaluation models, such as publications of the Center for the Study of Evaluation at

the University of California at Los Angeles,[1] the EPIC Evaluation Center at Tucson, Arizona,[2] and the Evaluation Center at Ohio State University.[3]

Essentials for Evaluation Design

Because evaluation is inextricably linked to the performance objectives, those involved in planning the project and those who will evaluate should, when specifying both product outcomes and operational processes, consider the following five essentials for evaluation: (1) behaviors to be measured, (2) measurement instruments to be applied, (3) data collection procedures, (4) data analysis techniques, and (5) data reporting format.

1. Behaviors to be Measured

If performance objectives are specified properly applying the criteria given on page 40, the first two minimum essentials will be satisfied: the expected behaviors, including minimum levels of performance, and the instruments, including conditions of measurement, will have been specified within the objectives.

2. Instruments

The evaluation instrument for each objective should be identified and described briefly. Standardized tests, questionnaires, rating scales, interviews, observation schedules, and interest inventories

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1/ Sponsored by the U.S. Office of Education under the Cooperative Research Act.

2/ Sponsored by Title III of the Elementary and Secondary Education Act of 1965 through a grant to the Pima County Schools Office. Publications are available from 1034 East Adams, Tucson, Arizona.

3/ Ohio State University, Columbus, Ohio.

may be among the instruments selected.

a. Availability and Development

For developing and evaluating the instructional component, there is a critical shortage of tests of oral proficiency both in English and in other languages, as well as in subject areas taught in these other languages. Tests for measuring the effectiveness of operational processes also may be scarce. In addition, it is unlikely that instruments will be readily available for measuring the processes involved in components such as curriculum development, community involvement, and staff development. When instruments are not available and will be developed, the performance objective must specify the testing criteria which will be incorporated in the new instrument. A plan for designing and pretesting the instrument should be appended.

b. Requirements for Baseline Data

Baseline data should be considered as the instruments are selected or developed, since validity may be affected if the appropriate data on the target population have not already been secured or made available at the beginning of the program. In most cases, baseline data on language ability and achievement levels, socioeconomic status, attitudes, and other characteristics of project participants will be needed to permit accurate measurement of the attainment of project performance objectives.

3. Data Collection Procedures

The plan for the collection of evaluation data should include the complete evaluation schedule, the target populations to be examined, those responsible for arranging and administering the measurements, and any conditions of measurement not specified within the objectives. It must be decided whether pre- and post-test techniques will be used to measure some of the product outcomes in a particular component, and if so, on what basis the scores and ratings will be evaluated.

4. Data Analysis Techniques

The evaluation design should indicate the statistical tests to be applied and the types of comparisons and correlations to be drawn. For the instructional component, it also should reflect such considerations as possible differential effects of program treatments upon various groupings of children, the bases for assumed equivalencies among groups, and pertinent external factors which might affect program results.

5. Reporting Procedures

Procedures for presenting the results of data analysis should specify the schedule, format, and recipients of reports. As these procedures are planned, Office of Education reporting requirements must be considered, along with the degree to which the proposed procedures will provide feedback to enable appropriate modifications

of the program and will provide the local community and others affected by project activities with timely information about the status of the program.

Considerations in the Evaluation of Bilingual Programs

Because bilingual education is relatively new in the United States, at least in the public schools, LEA's planning bilingual programs and seeking ways to evaluate them will find that the appropriate procedures have not yet been fully developed. In many cases, additional types of data will have to be gathered to provide the baseline information against which progress of the project participants can be measured, and new instruments to assess their progress will have to be devised.

1. Baseline Data

Evaluators and planners should consider the kinds of data which will be required to establish where participants were before they entered the program or to provide a comparison with similar students who did not participate.

Certain types of data traditionally obtained through many school testing programs will be useful for purposes of comparison. For instance, the reading scores gathered at the end of the school year over a period of time for similar groups of students could be used for comparison with the scores of project students after a year in the program. However, the value of other types of data, such as the

results of IQ tests administered in English to children whose dominant language is one other than English, is negligible.

Few schools assess the oral proficiency of bilingual children in English and in their home language as they enter school for the first time. However, since children enter with a wide range of language experiences, this kind of data will be of great importance to projects whose major objectives are the general improvement of oral language skills. Other additional data might be parents' opinions about the schools or about the bilingual program.

2. Who Will Perform the Evaluation

Once the evaluation plan has been outlined, with outside assistance if necessary, it should be considered who will be responsible for each phase of the evaluation with regard to their qualifications and to the need for additional training if experienced personnel are not available. In a very small project, the director and other project personnel may themselves conduct the principal procedures. Supervisors, psychometrists, or other employees of a school district may be involved in certain phases of the evaluation. If inexperienced personnel are to be utilized, for example, if classroom teachers will be expected to administer tests, training in procedures should be provided. Some projects may wish to contract with an outside consulting firm, university, or other group not only for assistance in planning the evaluation but also for training of personnel who will be responsible for various aspects of the evaluation. Other projects may prefer to have such a group take entire responsibility for the evaluation.

3. Instruments

Evaluators working with bilingual programs will want to use a variety of instruments, both formal and informal, teacher-constructed and standardized, to measure the progress of the project toward the stated objectives. Evaluators will find a critical shortage of standardized tests of oral proficiency both in English and in the dominant language of the students, as well as in subject areas taught in the latter language. They will also find a shortage of tests to measure attitude change. Where tests are lacking, plans for the development of new instruments, including means for checking their reliability and validity, should be described.[1]

4. Instructional Process

The evaluation of the instructional process attempts to assess how well the teacher is following the plans to which he has made a commitment. This does not mean there will be no changes as the evaluator checks progress. Although the evaluator will be concerned with the efficacy of the process, one of the important products of a project is an identifiable, successful process which can be replicated. In addition, the assessment of process must include examination of the effect on learning of individual teacher's attitudes toward students.

Since bilingual programs involve primarily language, it is also important to evaluate the style and usage of the language, other than

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1/ Suggestions for checking the reliability of language tests are given in Robert Lado, Language Testing. London: Longmans, Green & Co., Ltd., 1961.

English, to be used in the classroom. For this purpose, the individual directly concerned with classroom performance of teachers and aides should have an adequate knowledge of that language, if possible.

In order to evaluate the instructional process, the design should include such instruments as observation schedules, rating scales, anecdotal records, and video-taped records.

5. Evaluating the Work of Instructional Support Personnel and Others Contributing to the Success of a Project

Many variables affect the achievement of objectives; for example, whether or not the children hear English at home, the socio-economic level of the community, the organization of the instructional program in time and space, and the facilities available. Although all evaluation plans will necessarily be selective as to which variables will be examined, most plans should include an effort to assess the effectiveness of instructional support personnel, such as supervisors, coordinators, librarians, and resource materials directors. Where these individuals are contributing directly to individual components, they should be considered with other aspects of those components. Otherwise, evaluation of their roles might be included with the evaluation of general project management. Consultants employed extensively in a project should be evaluated in terms of the project's specifications for the service they are to give.[1] For example, one group might be called in for an item analysis of a teacher-made test; another to develop a unit on history in Spanish; and others to review plans for a community program. Records should show whether such tasks were completed.

1/ General suggestions for item analysis and for checking reliability and validity of tests may be found in books such as: Robert L. Ebel, Measuring Educational Achievement. Englewood Cliffs; Prentice Hall, Inc., 1965.

G. INDEPENDENT EDUCATIONAL ACCOMPLISHMENT AUDIT (IEAA)

Certain preliminary activities are necessary before the educational audit of a project may begin. These activities include initial contacts and establishment of a liaison between the prospective auditors and the LEA, tentative selection of an auditor by the LEA based on OE criteria,[1] and arrangements for the auditor's services during the project's developmental period.

Pre-Audit Activities

In order to adequately prepare himself for his responsibilities, the auditor should visit the project in its developmental stages. Prior to this visit, he should review the OE program guidelines, the LEA's preliminary proposal, and the draft of the formal plan.[2] The auditor should receive from the project evaluator the proposed evaluation design and should determine that the baseline data, types of instruments, and quantity of data to be collected are adequate

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1/ 1. independence from the program
2. proximity to the project site
3. qualifications and record of acceptable performance on similar tasks
4. organizational capability
5. attendance at OE training institute

2/ This contact should take place sufficiently prior to the beginning of each school year to allow the auditor to review the proposed evaluation design and establish a site visit schedule for conducting the audits during the coming year.

and that instruments and procedures are included for evaluation of product, process, and management. If the auditor notes discrepancies between the objectives and the proposed instruments and procedures for evaluating them, he should discuss these with the evaluator and recommend revisions to the program manager, who will, after consultation with the evaluator, decide upon implementation of recommendations. Unless a discrepancy can be removed by a single action, the auditor should suggest alternatives from which the LEA may select a specific revision.

On the basis of the refined evaluation design, the auditor will develop a proposed audit design, and the audit contract will be drawn up. (See Exhibit A for essential elements to be included in the auditor-LEA contract.) If OE approves the formal proposal and the audit contract, the latter may be executed.

Conducting the Educational Audit

The educational audit should be conducted at least semiannually: at the end of the first semester and at the end of the school year. There are three stages of activities in the conduct of the audit: those related to the pre-audit period, the site visit, and those related to the post-audit period.

Pre-Audit Period

Upon receipt of the evaluation documents from the LEA on the approximate date specified in the contract (see Exhibit A), the auditor analyzes them in detail (see Exhibit C), determines the specific sampling to be conducted and questions to be raised during his visit to the site, and obtains agreement from the LEA for a site-visit schedule to include a minimum of two audits per year.

The Site Visit

Using sampling techniques, the auditor verifies the results of specific evaluation instruments and assesses the suitability of the evaluation procedures. His activities include observing evaluation procedures (test administration, interviews being conducted, etc.) and program activities, interviewing students, parents, or staff members; spot-checking written tests, questionnaires, interview sheets, rating sheets, observation schedules, etc.; and reviewing material products, such as curriculum units or student projects.

Where the documents for any portion of the evaluation reveal discrepancies (including the complete absence of data, incomplete data, or inconsistencies), the auditor will receive from the evaluator all the data collected for the portion in question and will review it. He will consult with the program manager and evaluator to determine procedures for handling major discrepancies.

Post-Audit Period

The auditor will prepare the preliminary audit report according to the time schedule specified in the contract (see Exhibits A and D). This report will then be presented to the LEA and discussed with the appropriate officials.

The final audit report will be prepared and submitted to the appropriate LEA personnel[3] according to the contract time schedule. It will be the responsibility of the LEA to forward five copies of each final audit report to the U.S. Office of Education within thirty days of its receipt by the LEA. In addition, the number of copies required by the State educational agency should be submitted to that agency (unless it is the auditing agent).

3/ school board, superintendent, project director, project evaluator.

EXHIBIT A

Checklist of Essential Elements to be Included in Written Contract between Auditor and LEA

1. Statement outlining the services and products which the auditor will provide in order to:

   a. verify the results of the project evaluation and
   b. assess the appropriateness of the evaluation procedures

2. Names of audit personnel and résumés of their qualifications

3. Specifications concerning the documents and services (such as secretarial, office space, transportation, and communication during the site visits) which the LEA will provide the auditor

4. Scheduling specifications, including approximate dates for submission of evaluation documents to auditor by LEA, approximate dates and minimum number and approximate length of audit visits, audit reporting dates, etc.

5. Specifications concerning the sampling techniques and procedures to be used by the auditor

6. Specifications concerning the audit reports: their number, major topics to be included, who will prepare and certify them, to whom they will be submitted, approximate dates for submission, etc.

7. Specifications concerning the auditor's access to documents and persons, assurances of confidentiality, and any other special provisions required by the LEA or the auditor

8. Contract budget and payment schedule

9. Penalty and incentive clauses (if any)

EXHIBIT B

Documents Required for the Educational Audit

1. Documents to be provided to the auditor before the project begins:

   Federal Regulations
   OE Guidelines and policy statements
   Complete LEA proposal as approved - preliminary proposal, formal proposal, and revisions
   Pertinent correspondence between LEA and OE concerning proposal, such as evaluative comments and recommended revisions
   Copies of specific evaluation instruments to be used
   Copies of contract between LEA and evaluator, if evaluation is to be conducted externally

2. Documents to be retained by the LEA but to be available to the auditor for inspection at any time during the contract period:

   All data collected through project evaluation, including tests, questionnaires, interview sheets, rating sheets, observation schedules, material products, videotapes, films, etc.

   Project financial records.

3. Documents to be submitted to the auditor by the LEA at specified times prior to the auditor's site visits:

   All tabulations, data analyses, and written summaries and interpretations of the results of project evaluation, including internal progress reports and quarterly reports submitted to OE

   Description of the data analysis techniques and procedures used by the project evaluator

   Evaluator's recommendations for revisions of the evaluation design and all recommendations for program modifications based on evaluation results.

EXHIBIT C

Illustrative Questions for the Auditor's Critique of the Evaluation Design and Procedures

A. Selection of instruments

1. Did the range of instruments match the range of objectives?
2. Were the instruments valid? Did they actually measure the behavior intended by the objectives?
3. Were the instruments reliable?
4. Were both pre- and post-test measures suitable for repetition?

B. Data collection procedures

1. Were the measures applied under the physical conditions required by the instruments?
2. Were the testers, observers, or interviewers appropriately selected under the requirements of the instruments?
3. Did the testers, observers, or interviewers receive appropriate training?
4. Was the measurement schedule followed?

C. Data analysis procedures

1. Was there an adequate basis for any assumed comparisons among groups?
2. Were differential effects of the program taken into consideration?
3. Was the formula or source given for the statistical tests?
4. Did the data meet the prerequisites for the statistical tests?
5. Were the important external factors considered which might have affected program results?

EXHIBIT C (cont.)

D. Data analysis presentation

1. Did the evaluator present the data in a clear form?

2. Were statistical conclusions stated in language appropriate for the intended audience?

3. Were the conclusions communicated promptly to the appropriate persons?

4. Did the conclusions focus on areas of primary importance for program decision-making?

EXHIBIT D

Suggested Audit Report Content Areas

1. Introductory and general comments concerning the quality of the project evaluation and the comparative findings of the project evaluation and the audit.

2. Detailed critique of the product, process, and management evaluation conducted for each component, based on an assessment of the instruments used, data collection procedures, data analysis techniques, and data analysis presentation.

3. Description of the auditor's site visit findings and their correlation with the evaluator's data and reports, by component; summary of consistencies and discrepancies, and interpretation of the discrepancies.

4. Recommendations for revisions in the evaluation design, including a rationale for each recommendation. Since the auditor's objectivity can be retained only if the selection of a specific corrective action is a local decision, he should provide general rather than specific recommendations, including several alternative actions or possible sources of assistance to the LEA in correcting the deficiency.

5. Confirmation or questioning of the need for program modifications which have been proposed as a result of project evaluation.

H. PARENT AND COMMUNITY INVOLVEMENT

Title VII bilingual education programs must include plans for parent and community involvement in all aspects of the project, including planning, implementation, and evaluation. Parents have both the right and the responsibility to share in determining the nature of their children's education and must be given opportunities to take an active role. Interaction between parents and the project staff--in homes, classrooms, and elsewhere in the community--can help parents learn how they may best support and influence the program, and, on their own, contribute more fully to their child's total development. It can also help the project staff become more responsive to the needs and goals of the parents and community and translate such goals into meaningful project activities. Provision may be made in the budget for funds to support parental and community involvement activities.

Advisory Group

A project advisory group which consists of parents and community representatives should be formed before the project proposal is prepared and should continue to be involved at all stages of the project's development and operation. Needs cannot be adequately assessed without consultation with the parents and community representatives, the people who have "been there" and who live with first-hand knowledge of their children's problems in an English-speaking environment. Nor can long-range goals be postulated without

the knowledge of parents' aspirations for their children. Without the active support of the parents and the community, goals will be inadequately achieved and plans will contain hidden pitfalls.

Some of the functions of the advisory group are:

- To help develop and implement the project
- To represent the interests of the parents and community (including public agencies, businesses, and community groups)
- To assist in evaluating the project
- To establish a procedure by which grievances of parents and others can receive prompt consideration, and to participate in resolving grievances
- To promote the project in the community
- To assist in mobilizing community resources in support of the project.

Frequent meetings of the advisory group will keep the members in touch with new developments in the project and will provide opportunities for them to discuss issues and make recommendations to the project staff.

Parents

Opportunity should be provided for parents to assist in the classroom and in other project activities, as paraprofessionals or as volunteers. Their dominant language should be used if it would allow them to feel more comfortable. Working together in the instructional program, parents and staff may learn from each other

and parents may gain further understanding of the purpose and activities of the project. They may learn more about how to help their children at home while also demonstrating to their children a concern for their academic success.

Instructional activities should be open to parent observers at reasonable and convenient times. Parents should be encouraged to observe classes several times during the year. Some parts of the project might be arranged in the evening or on Saturday to permit fathers to observe.

Parents who are serving in the project as paraprofessionals must, of course, participate in staff training activities.

Parental involvement may also be in the form of educational programs for the parents of children in the program in order to help them find ways to reinforce their children's learning or to supplement classroom instruction through such programs as classes in English-as-a-second-language, orientation to the bilingual program, workshop sessions in the use of supplementary materials at home, home-school counseling using the dominant language of the parental where possible, etc. Such programs might be treated as a specific component.

Staff, parents, and children will all benefit from home visits and telephone calls. Home visits by project staff, with parent consent, of course, should be as frequent as appropriate and desired.

All home visits should have a purpose, whether to exchange information, to explain how the parents can reinforce learning, or to inform parents of their child's progress.

Community

Prior to the planning of the proposal the LEA should make direct contact with organizations that are working in the heart of the barrio or community and should seek names of people who will contribute to the project in an advisory capacity and in the operational phases. Nominations should be sought from both traditional and young organizations, as well as from community residents who are not members of organized groups, especially parents of children participating in the project. It is not enough simply to call a meeting. Door-to-door canvassing and other direct communication are necessary. Local residents must be convinced of the program's value in order for it to be successful. In some communities, local interest will be contingent upon the support of powerful community groups.

I. TECHNICAL ASSISTANCE

The local educational agency after the approval of the preliminary proposal, has an opportunity to solicit technical assistance for further development of the proposal. Technical assistance may provide resources not generally available in the local educational agency for planning, developing, operating, evaluating, auditing, and disseminating information about programs. Assistance may be provided by such outside resources as industry, business, labor, colleges, service

organizations, community groups, regional laboratories, research agencies, private foundations, State educational agencies, other local educational agencies, the U.S. Office of Education, other Federal agencies, etc. Because of their familiarity with improved techniques of management, process, and quality control, business and industrial resources may be particularly helpful to the local educational agency attempting to improve its program operations.

The local educational agency may obtain needed technical assistance in any one or combination of ways. Services may be volunteered or paid for with local, Federal, or other funds. Title VII funds will have certain limitations for such services, particularly in Phase I, known as the developmental stage.

The local education agency has the responsibility for assuring that its technical assistance is furnished by reputable persons, accountable to the project and to the Federal Government. Evidence of expertise in areas specified in the proposal should be provided along with résumés of the background and experience of personnel assigned to perform a specific task. The availability of the personnel and evidence of their permanence with the organization should be indicated to document that certain jobs are likely to be successfully completed.

Those employed to provide technical assistance should satisfy criteria such as:

- Successful past performance in jobs and tasks similar to the one to be contracted.

- Qualified, available personnel assigned to the task.
- Clear contractual specifications of the work to be done and the product to be delivered.
- Cost effectiveness in terms of product.
- Accountability for performance.

The attached checklist suggests elements that should be included in a performance contract negotiated between a local educational agency and a contractor for required services. The list is not intended to be all-inclusive nor will each of the items on the list be required in every performance contract. Each local educational agency should devise its own list to meet the special needs of the contract. (Checklist follows.)

a. PERFORMANCE CONTRACTING

CHECKLIST OF ESSENTIAL ELEMENTS

INSTRUCTIONS: Prepare a checklist for each person or agency to perform technical assistance in any capacity.

1. Name, address, telephone number, etc.
2. Type of services to be rendered
3. Agreed contract price, or fees per day
4. Statement outlining the problem to be solved or the task to be performed
5. Statement of the service to be provided by the contract; e.g., an educational accomplishment audit, evaluation of the project, inservice training, etc.
6. Specifications of the amount of time to be spent on contract components, frequency and length of visits; numbers of classes to visit, whether testing is included, measurements that will be used, etc.
7. Specifications regarding personnel to perform the various contract tasks, including résumés of performance qualifications
8. Specifications of reports to be made: (a) format, (b) frequency, (c) components to be covered, (d) who prepares and certifies them, etc.
9. Calendar of operations and deadlines
10. Special assurances
11. Other

J. STAFF RECRUITMENT AND DEVELOPMENT

In addition to the qualifications required of all instructional personnel in a school system, instructional personnel in bilingual classrooms need special competencies including:

- Competency in the language of the project, other than English.
- Training and experience in teaching that language as a first language.
- Training and experience in using that language as a medium of instruction.
- Training and experience in teaching that language as a second language.
- Training and experience in teaching English-as-a-second-language.

Language Competency

Just as the style of English used by teachers in their classrooms concerns their employers, the style of grammar and usage to be demonstrated by staff using the other language in bilingual classrooms should be carefully considered, since these instructional personnel will provide the models for educated speech in that language. In recruiting and employing instructional staff, consideration should be given to the regional dialect of the community (e.g., Puerto Rican Spanish in a barrio in New York or a variety of Mexican Spanish in Los Angeles) and to the community's language aspirations for the children (e.g., ability to communicate with educated speakers from various places). If trained teachers are available who are also members

of the target population or if other community members with the desired language qualifications can be found, they should be given preference for instructional and paraprofessional positions in the project. Their presence will not only bring genuine language and cultural resources of the particular speech community into the classroom, but will also tend to strengthen community support for the project.

A high level of competency in the project language, other than English, is obviously not necessary for the teachers who will teach in English only. However, if teachers or other project staff members have had no training in a foreign language, beginning instruction in the children's dominant language should be arranged for them to aid their understanding of the problems of learning a language and to enable them to greet children and parents in their language.

Teaching the Children's Dominant Language as a First Language and Using It as a Medium of Instruction

It will be difficult for many bilingual projects to find personnel who have not only the required language competencies but also training and experience in teaching their language to its native speakers--teaching the language arts of that language and using it to teach other subjects in the curriculum, such as arithmetic or social studies. Unless personnel have been especially prepared to do this in the language in question or unless they have had special experience such as teaching in another country, they may lack the concepts and the technical vocabulary. Staff development programs, discussed below, can be arranged to meet such needs of otherwise qualified personnel.

Teaching Second Languages

Instructional personnel who will teach English-as-a-second-language and those who will teach the other language of the project to native speakers of English should have specialized training in language teaching methods, with special emphasis on those areas of the second language which are especially difficult for learners with a particular language background. As indicated above, it is advisable for individuals who will teach English in the program to have some knowledge of the other project language as a part of their preparation.

General Considerations

All staff personnel should have an awareness of the cultural and socio-economic factors which influence the classroom performance of the children to be served. In addition, because bilingual education programs are new and because, by definition, they involve cross-cultural communication, personality should be considered of special importance in selecting staff. Individuals with greater-than-average skills in communication and interpersonal relationships should be sought.

It should be noted that Title VII project funds may not be used to pay for school personnel within the level normally employed by the district. If Title VII funds are used for the salaries of classroom teachers or other personnel after school district employees have been assigned elsewhere, a full justification must be provided.

The agreement on the part of the local educational agency to institute a bilingual education project implies a commitment to continue such a program, if it proves successful, once the Federal grant terminates. A cadre of qualified personnel would then become a long-range goal.

Although individuals with all the qualifications deemed desirable might not be found, especially in the first year of a project, the project director and the LEA should keep in mind the desired qualifications and should provide additional training for personnel who are otherwise qualified.

Objectives

The objectives of the training programs will depend upon the needs of the staff members in relation to the responsibilities of their positions. In shaping the training program one might ask the following questions:

1. Is the purpose of the program to qualify the staff members for a position or is it for orientation purposes?

2. Are cognitive skills to be learned or are attitudes to be developed or changed?

Orientation should not be considered a substitute for training. Regardless of the training needs of the staff, all project personnel should receive a thorough orientation to the project goals and procedures. Whenever possible the principal and other school personnel should be invited to participate in orientation and training sessions in order to insure an understanding and acceptance of the project objectives and to promote close working relationships with the project. Where teachers and paraprofessionals will be working together in the classroom, joint teacher/paraprofessional training is important to enable them to interrelate as effectively as possible.

If the staff development program is a formal one consisting of a number of hours of instruction on a regular basis, provision might be made for it to be equated with other teacher education courses for purposes of salary increases for teachers and paraprofessionals, and additional teaching responsibility and eventual full professional status for paraprofessionals. In this way, persons recruited from the community might be encouraged to seek careers in the school system where they would form a pool of trained talent for the bilingual program.

Where private schools are participating in the bilingual education project, private school personnel could easily participate in staff development activities with little, if any, additional cost to the project.

Course Content

Course content would, of course, depend upon the training experience of the staff; however, some areas that would probably be covered by training programs for teachers and paraprofessionals involved in bilingual education would be the following, which is not intended to be an all-inclusive list:

1. Introduction to the theory and methods of audio-lingual foreign language and English-as-a-second-language instruction.

2. Orientation to the specific problems in learning English encountered by speakers of the non-English language and vice versa. Professionally prepared materials, especially if they have been adapted for the particular language group, will largely take care of structural and vocabulary contrasts, but the individual teacher must understand the fundamentals of articulatory phonetics in order to be able to understand the children's problems and to know how to help them produce the new sounds.

3. Preparation in the teaching of subjects other than the non-English language using the non-English language as the medium of instruction. The fact that they are native speakers of the non-English language does not necessarily mean that teachers are prepared to teach other subjects such as math, science or social studies using the non-English language as the medium of instruction. Unless they have had their professional preparation in teaching those subjects in the non-English language, or have had specific previous experience in teaching content areas using the non-English language as the medium of instruction, teachers may lack the necessary concepts and the specialized vocabulary.

4. Orientation to the function of language in a society and the relationship of language to an individual's self-concept and feeling of belongin to a group and to his view of the world around him.

5. Instruction in the second language of monolingual English speakers who will be involved in the program. Such language training would not prepare them to teach in the non-English language. It would, however, remind them of the difficulties of the non-English speaking child attempting to function in an English environment and would give the teacher and student some limited, though common points of communication. This would also tend to enhance the child's view of his language in his own mind.

6. History and culture associated with the language of children.

7. Problems of working with culturally different children.

Trainers for Staff Development

Some possible sources for trainers that might be considered are the following: the project personnel with specialized training and experience, school system personnel, universities, regional educational laboratories, private firms from which specific materials are being purchased, and institutes and workshops being conducted by other institutions. The LEA should present to the potential trainer the specific needs of the staff in terms of the areas noted above, rath than simply requesting that they train the teachers in "bilingual education." It is assumed that trainers will be chosen on the basis of their ability to provide for the specific needs of the participating project staff. (See Section L for some existing Federal programs which may be of assistance.)

Length of Training

The staff development program would probably involve both pre-service (before the installation of the classroom program) and continuous inservice programs. The pre-service might include orientation to the project goals, practice with the classroom materials to be used, discussion of the procedures for carrying out the classroom portion of the project, as well as training in the specific areas noted above. Inservice might include regularly scheduled sessions with a consultant or other training personnel to discuss specific methods, subject matter areas, workshop sessions, etc. During the course of the project the director may discover **that the staff feels unsure in certain areas which had not been determined previously, and will need to adjust the inservice schedule accordingly.**

If inservice is to take place during the school day, a common non-teaching period might be planned or perhaps substitutes may have to be scheduled on a regular basis. In the case of the latter, the teacher aide might be able to cover the class to provide for continuity in the bilingual program. Or if a regular corps of substitute teachers can be counted on for the bilingual program, they might be considered for inclusion in the orientation and other preservice training sessions.

The project director should also keep staff informed of local workshops, fellowship opportunities, films, lectures and other activities that are related to their needs.

K. MANAGEMENT PROCESS

Provisions for effective project management which are appropriate to the scope and activities of the local project are essential to the success of a bilingual program. A first step in establishing the management requirements of a project may be to consider basic management functions as they relate to major project activities. Management functions can be defined in a variety of ways. The following are described here: Planning, organizing, staffing, staff development, evaluation, reporting, communication, coordination, and dissemination. Staffing, staff development, and evaluation are dealt with elsewhere in this Chapter.

Although to stimulate thought the management aspects of project operation are treated as separate entities below, in reality these processes are inseparable from major project activities. Thus, a time line indicating key project events is one way of presenting graphically the management needs for that project. A log maintained by the project administrative staff reporting project status and administrative actions at each identified point in time then becomes one way of evaluating project management.

Planning

At the outset, groups or persons whose involvement in the development, approval, or operation of the project is essential to its success should have an appropriate part in the initial planning phases. Such groups or persons might include: school boards, superintendent and certain LEA staff, school principal and key school staff, student representatives, teacher organization representatives, advisory group of parents of target children, nonpublic school representative, community organization representatives, the anticipated project director and staff members, and the project evaluator. Maximum involvement in planning is time-consuming, but understanding and acceptance of the project by these persons and groups can be crucial to its success and its continuation after Federal support comes to an end.

Once the project is underway, long-and short-range planning activities should be scheduled throughout the year to evaluate past experience and current needs, validate or reestablish objectives, define operational processes to meet objectives, and assign and schedule responsibilities for carrying out those processes. All staff should take part in some planning activities and some staff should take part in all of them. Maximum staff

participation in planning serves vital communication, coordination, staff development, and motivation purposes. One of the most effective leadership situations for the project director is in the planning session.

Major planning activities would include:

(a) staff meetings to review evaluation data and current needs as reflected, for example, in written reports, test scores, attitude profiles, or individual student development records; to review and revise performance objectives; to assess effectiveness of textbooks and visual aids; or to schedule joint field trips and test administration;

(b) development and periodical revision of detailed, scheduled work plans, e.g., a PERT network;

(c) inservice programs devoted to program planning; and

(d) scheduled conferences with consultants, evaluators, and key LEA officials to plan the next year's program.

The key planning documents which should be maintained currently and distributed widely to the staff and key LEA officials are the operational plan for the project including performance objectives, the evaluation design, and a work plan schedule or PERT network.

Organizing

Projects should be organized so as to function within and not conflict with the existing school system structure. Projects should not operate in isolation from the rest of the school system. A good organization structure will clarify responsibilities, avoid unnecessary overlapping of duties, enhance coordination between working groups, and facilitate the ultimate absorption of project activities into the regular program of the parent school system.

Organizational options for small projects are limited. In some situations, there might be no need for a formal structure but merely for clarified working relationships. In other situations the organization structure should follow the component structure discussed earlier.

In project design the major concern is to make clear in writing the responsibilities of each organization unit and the essential contribution each staff member will be expected to make including his key operating relationships with other staff members.

Inservice programs should be carefully and objectively evaluated and records retained for evaluation, audit, and planning purposes.

Reporting

Most of the following reports are needed in some appropriate form in every project:

a. Student achievement reports

b. Attendance reports

c. Observation reports on classroom personnel, e.g., teacher and aides

d. Descriptive and evaluative reports on inservice activities

e. Reports by evaluator or evaluation team in accord with evaluation design

f. Reports on curriculum and materials development activities

g. Financial status and expenditure reports.

The above reports should provide almost all of the information needed to complete the Quarterly Program Status Report required by U.S. Office of Education. More importantly they will provide the director and his staff with the information needed to initiate corrective actions such as revising curriculum and materials, adding new substance to the inservice program, changing personnel assignments, or modifying performance objectives.

Communication, Coordination, and Dissemination

These three functions can be served jointly by several common project activities:

a. Issuing a project newsletter or using an already accepted publication to present project news on a periodic basis. The important news about the project should be told as it unfolds, e.g., extent of need, project rationale, curriculum and materials, staffing, evaluation design, and, later, evaluation results. It can also announce inservice activities, daily classroom schedules, testing dates, the development of new materials, pertinent research findings, etc. Among its most important audiences aside from project staff would be parents, other regular school staff, key LEA school officials, board members and community groups. At appropriate times copies may be sent to the State education agency and to interested professional organizations which might, in turn, disseminate the information further.

b. Conducting regular project staff meetings. Such meetings can serve communication, coordination, and dissemination purposes most effectively. Of course, considerable skill is needed to keep them on target and within given time limits.

c. Conducting inservice programs. Task-oriented workshops may undertake significant project assignments such as, for example, the review and improvement of performance

objectives. By inviting key LEA officials or interested personnel from other LEA's to observe, this activity can serve the communication, coordination, and dissemination functions quite effectively.

In addition the director and his immediate staff, if he has one, will serve these functions in the course of everyday activities such as giving guidance to the staff, issuing instructions, and explaining the project to visiting educators.

L. COORDINATION WITH OTHER PROGRAMS

The following pages describe Federal programs which might be coordinated with bilingual education programs.

Elementary and Secondary Education Act

Title I provides financial assistance to local educational agencies for special programs for educationally deprived children in low-income areas.

Title II provides school library resources, textbooks, and other instructional materials.

Title III provides for supplementary educational centers and services.

Further information concerning these three titles may be obtained from the State departments of education.

Title IV supports Research and Development Centers and Regional Laboratories which have developed some materials and curriculum for the child whose dominant language is not English. Those centers and laboratories in regions where there are many persons whose dominant language is not English may be particularly helpful.

RESEARCH AND DEVELOPMENT CENTERS

Learning Research and Development Center
208 M.I. Building
University of Pittsburgh
Pittsburgh, Pennsylvania 15213

Center for the Advanced Study of Educational Administration
147B Hendricks Hall
University of Oregon
Eugene, Oregon 97403

Wisconsin Center for Research and Development for Cognitive Learning
The University of Wisconsin
1404 Regent Street
Madison, Wisconsin 53705

Research and Development Center in Educational Stimulation
Fain Hall
University of Georgia
Athens, Georgia 30601

Research and Development Center in Teacher Education
303 Sutton Hall
University of Texas
Austin, Texas 78712

Stanford Center for Research and Development in Teaching
Stanford University
770 Welch Road
Palo Alto, California 94304

Center for Research and Development in Higher Education
University of California
4606 Tolman Hall
Berkeley, California 94720

Center for the Study of the Evaluation of Instructional Programs
University of California
145 Moore Hall
405 Hilgard Avenue
Los Angeles, California 90024

Center for the Study of Social
Organization of Schools
The Johns Hopkins University
3505 North Charles Street
Baltimore, Maryland 21218

REGIONAL EDUCATIONAL LABORATORIES

Appalachia Educational Laboratory
1031 Quarrier Street
P.O. Box 1348
Charleston, West Virginia 25325

Central Midwestern Regional
Educational Laboratory
10646 St. Charles Rock Road
St. Ann, Missouri 63074

Center for Urban Education
105 Madison Avenue
New York, New York 10016

Education Development Center
55 Chapel Street
Newton, Massachusetts 02160

Research for Better Schools, Inc.
Suite 1700
1700 Market Street
Philadelphia, Pennsylvania 19103

Regional Education Laboratory
for the Carolinas and Virginia
Mutual Plaza
Durham, North Carolina 27701

Southeastern Education Laboratory
3450 International Boulevard
Hapeville, Georgia 30054

Upper Midwest Regional Educational
Laboratory
1640 East 78th Street
Minneapolis, Minnesota 55423

Eastern Regional Institute for
Education
635 James Street
Syracuse, New York 13203

The Far West Laboratory for
Educational Research and
Development
1 Garden Circle, Claremont Hotel
Berkeley, California 94705

Mid-Continent Regional
Educational Laboratory
104 East Independence Avenue
Kansas City, Missouri 64106

Northwest Regional Educational
Laboratory
400 Lindsay Building
710 Southwest Second Avenue
Portland, Oregon 97204

Southwestern Cooperative
Educational Laboratory
117 Richmond Drive, NE.
Albuquerque, New Mexico 87106

Southwest Educational
Development Laboratory
800 Brazos Street
Austin, Texas 78767

Southwest Regional Laboratory
11300 LaCienega Boulevard
Inglewood, California 90304

Also supported under Title IV are the Educational Resources Information Center (ERIC) Clearinghouses which are part of a national information network for acquiring, abstracting, indexing, storing, retrieving, and disseminating the most significant and timely educational research reports and program descriptions. Of particular interest to those working in bilingual education programs are the following:

Linguistics, ERIC Clearinghouse
Center for Applied Linguistics
Washington, D.C. 20036

Early Childhood Education
ERIC Clearinghouse
University of Illinois
Urbana, Illinois 61801

Teaching of Foreign Languages
ERIC Clearinghouse
Modern Language Association of America
New York, New York 10011

Title IV also provides support for research and related activities at the following levels: preschool, elementary, intermediate, secondary, post-secondary, community college, and adult education. Specific information regarding these programs may be obtained from:

National Center for Educational Research and Development
U.S. Office of Education
400 Maryland Avenue, SW.
Washington, D.C. 20202

Title VIII authorizes the use of Federal funds for the development and demonstration of educational practices for the reduction and prevention of dropouts in urban and rural schools with a high dropout rate and a high concentration of children from low-income families. This program is administered by:

Dropout Prevention Programs Branch
Division of Plans and Supplementary Centers
Bureau of Elementary and Secondary Education
U.S. Office of Education
400 Maryland Avenue, SW.
Washington, D.C. 20202

Education Professions Development Act

Grants for the development of elementary and secondary educational personnel are authorized under Parts C and D of the Education Professions Development Act.

The English to Speakers of Other Languages (ESOL) institutes and fellowships are designed to improve the qualifications of individuals engaged in or preparing to engage in the teaching of English to students who speak a first language other than English or a nonstandard dialect of English. Some projects are intended for persons with specific backgrounds and professional responsibilities, and others for individuals working with students from a particular population, e.g., Spanish-speaking children in the Southwest.

Bilingual education projects are designed to train individuals for work in bilingual education programs in the schools, while foreign language projects are designed to improve the broad range of competencies that teachers of foreign languages should possess. The programs include training in language skills and in language analysis, study of the foreign culture, and instruction in effective methods of teaching foreign languages. Some projects have special emphases and might be designed for participants with particular instructional or supervisory responsibilities. Some programs are held abroad. All language projects are designed to meet specific needs of participants at varying levels of audiolingual proficiency.

Similar training programs also are available in other related fields such as civics, English, geography, history, international affairs, and social studies.

Information concerning bilingual, foreign language, and other training programs may be obtained from:

Basic Studies Program
Box 1600
City Post Office
Washington, D.C. 20013

The Career Opportunities Program (COP) is designed to enable individuals from low-income backgrounds, who otherwise might not enter the profession, to take special courses and progress from paraprofessional status to full certification as teachers, counselors, social workers, etc., beginning in the summer of 1970. In the centers where COP projects will be located, opportunities may be arranged for aides employed in bilingual programs. These opportunities may provide at least part of the training for the aides, and they may serve to make teaching careers more attractive to people from the project areas whose contribution to the success of the bilingual programs is so essential. Information may be obtained from:

Career Opportunities Program
Box 1600
City Post Office
Washington, D.C. 20013

The Education Professions Development Act makes provision for the Teacher Corps Program. It is a Federally funded, locally operated teacher-training program to raise the quality of instruction for children in rural and city slums. Graduate interns divide their time between study and teaching disadvantaged youngsters under the supervision of experienced teachers. They receive master's degrees at the end of two years. Information may be obtained from:

Teacher Corps Program
Bureau of Educational Personnel Development
U.S. Office of Education
7th and D Streets, SW.
Washington, D.C. 20202

Economic Opportunity Act

The Head Start and Follow Through programs for preschool and early primary grades also have goals consistent with the objectives of the Bilingual Education Program.

Head Start
Office of Child Development
Department of Health, Education, and Welfare
Washington, D.C. 20201

Follow Through Branch
Division of Compensatory Education
Bureau of Elementary and Secondary Education
U.S. Office of Education
400 Maryland Avenue, SW.
Washington, D.C. 20202

Mutual Educational and Cultural Exchange Act (Fulbright-Hays Act)

This program provides various types of opportunities for foreign teachers, students, university professors and specialists to come to this country and for Americans with equivalent positions and interests to go abroad. The part of the program concerned with teacher exchange is administered by the U.S. Office of Education for the Department of State. It enables foreign and American teachers to exchange classrooms for an academic year and foreign or American teachers to fill specific school positions here or abroad, as the case may be. Under this program, for example, teachers from Spain or Latin America could be specifically recruited for bilingual programs with Spanish as the second language, teachers from France or Belgium for programs with French as the second language or teachers from Portugal or Brazil for programs with Portuguese as the second language, if the LEA's so desired.

In addition, the Office arranges many long-term and short-term study programs and visits for foreign educators in this country under the Fulbright-Hays Act and other exchange programs. Many of these people would be available for lecturing, consultations or classroom visits which might erhance various aspects of the bilingual programs and lead to increased community interest.

Division of International Educational
Exchange and Training
Institute of International Studies
U.S. Office of Education
7th and D Streets, SW.
Washington, D.C. 20202

National Defense Education Act

Title IV provides fellowships for graduate study in various subject areas including languages and linguistics.

Title VI supports (1) the establishment and operation of language and area centers at institutions of higher education, (2) research on language teaching and materials development (and studies in other fields to provide a full understanding of the areas, regions, or countries in which such languages are used), and (3) graduate fellowships in any of the modern foreign languages.

Division of Foreign Studies
Institute of International Education
U.S. Office of Education
7th and D Streets, SW.
Washington, D.C. 20202

Smith-Hughes Act, George Barden Act, Vocational Education Act

These pieces of legislation authorize programs to improve vocational and technical training. Grants are made to the States for vocational and technical education, counseling and guidance, teacher training, and for construction and operation of area vocational schools. The States reimburse the local schools for their program costs. The U.S. Office of Education cooperates with State officials in developing plans and procedures for local school training operations and approved State plans. In view of the fact that programs for bilingual education conducted by accredited trade, vocational or technical schools are eligible for funding, interested persons might wish to contact the appropriate State department of education regarding possibilities for combining programs funded under the vocational and technical education legislation with bilingual programs.

CHAPTER FOUR

PRELIMINARY PROPOSAL: PROCEDURES FOR SUBMISSION AND REVIEW

The preliminary proposal must be prepared according to the instructions and format given on the following pages. Copies must be submitted by established deadlines to both the U.S. Office of Education and the appropriate State educational agency. U.S. Office of Education personnel and outside consultants will evaluate the preliminary proposals and receive recommendations from State educational agencies.

The applicant must submit 10 copies of the preliminary proposal to the appropriate State educational agency and 10 copies to:

Director
Division of Plans and Supplementary Centers
Bureau of Elementary and Secondary Education
U. S. Office of Education
400 Maryland Avenue, S. W.
Washington, D. C. 20202

A. REQUIREMENTS FOR THE PRELIMINARY PROPOSAL

The Preliminary Proposal under Title VII, ESEA consists of two main parts in addition to the Letter of Transmittal: Part I - General Information, and Part II - Narrative.

See page 111 for Part I forms. FOR PART I, COMPLETE ONLY THOSE SECTIONS AND ITEMS NOTED BELOW. FOR PART II, COMPLETE ALL ITEMS 1 through 9.

Part I: complete only --

Section A: Project Information

Section B: Item 1 only, Title VII funds requested

Section C: Pupil Population Data, Items 1-7

Section D: Total Project Participants, Items 5,6,7, and 8

Section E: Participating Schools

See the instructions following the forms for further information.

(LEA LETTERHEAD)

PROGRAMS UNDER BILINGUAL EDUCATION ACT (Title VII, ESEA)

PRELIMINARY PROPOSAL

LETTER OF TRANSMITTAL

Date_____

Director, Division of Plans
and Supplementary Centers
Bureau of Elementary and
Secondary Education
U. S. Office of Education
400 Maryland Ave., S. W.
Washington, D. C. 20202

Dear Sir:

The _____, _____
(local educational agency) (county)
_____, hereby submits a preliminary
(city and State)
proposal for a project in the Bilingual Education Program to be funded under Title VII of the Elementary and Secondary Education Act of 1965.

Materials required as part of this preliminary proposal are attached. We understand that an Initial Plan for the Implementation of a Bilingual Program will be required from the LEA after review and evaluation by the Office of Education, outside consultants, and the State educational agency; and approval by the Division of Plans and Supplementary Centers.

Sincerely yours,

_____
Superintendent or legally
authorized representative
(if latter, give title)

_____
Signature of authorized representative
of institution of higher education,
when applicable. (give title)

cc: SEA

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

PROGRAMS UNDER BILINGUAL EDUCATION ACT, TITLE VII, ESEA *(P.L. 90-247)*
PRELIMINARY PROPOSAL

PART II - NARRATIVE

FORM APPROVED
O.M.B. NO. 51-R0836

SUBMISSION: Along with Preliminary Proposal Part I - General Information, prepare and mail original and 9 copies of this report to: Director, Bilingual Education Program, U.S. Office of Education, Bureau of Elementary and Secondary Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

STATE	DATE SUBMITTED	GRANTEE(S)

PROJECT TITLE

Provide a succinct statement for each of the following items. Total narrative should not exceed ten typewritten, single-spaced pages *(8 1/2" x 11")*. Supporting materials may be appended.

1. Identify the specific needs for bilingual education which the proposed project would be designed to meet. Describe the nature and results of programs which the local educational agency *(LEA)* has conducted to improve the educational opportunities of children whose native language is not English.

2. a. Indicate whether the intended participants attend a school *(or schools)* in the LEA which is among those with a high concentration of children whose dominant language is not English.

   b. Indicate whether any schools with a high concentration of children whose dominant language is not English are omitted from the proposed project.

   c. Describe plans for the participation of children enrolled in nonprofit private schools whose educational needs are of the type to be met by the proposed project, and indicate the extent of discussion with private school representatives to date.

3. State the objectives in terms of: (1) program objectives for the total five-year project, and (2) major behavioral changes desired by the end of the first year of the project for each group of participants *(students, teachers, paraprofessionals, parents, etc.)*.

4. Describe the operational procedures which are expected to meet the needs stated above and achieve the behavioral changes desired for the first year. Procedures must be clearly related to objectives and show an awareness of similar programs, research findings, and the knowledge of recognized experts.

5. Provide a proposed daily schedule for each grade level to be served during the first two years of the project. *(It is assumed that at least one grade level would be added the second year.)* Each schedule should clearly indicate:

   a. The subjects to be taught in the dominant language and those to be taught in English.

   b. The amount of time to be devoted to instruction using each language as a medium of instruction.

   c. The amount of time to be devoted to teaching each language as a language, and

   d. The schedule variations for participants whose dominant language is not English and for those whose dominant language is English.

6. Describe plans for preservice and inservice training of teachers, paraprofessionals, and other school personnel who would be involved in the project.

7. Describe how parents of participating children would be actively involved in planning and operating the project.

8. Describe the strategy for developing an initial project plan if this preliminary proposal is among those selected. Briefly describe:

   a. The staff commitment to direct the planning,

   b. The technical assistance-- agencies, persons, business and industry, community groups, foundations, colleges and universities, etc. - which would be used in designing specific parts of the program,

   c. The composition and functions of community representatives for the developmental phase, and

   d. The sequence of events, in the form of a time table, for the planning period.

9. Show how the school district would gradually assume financial support for the project during the five year period of Federal assistance, and finance the program after the five year period.

C. CRITERIA FOR REVIEW OF PRELIMINARY PROPOSALS

I. SIGNIFICANCE OF PROBLEM AND ASSESSMENT OF NEEDS

A. Data indicate a high concentration in the school district of children 3 to 18 years of age whose dominant language is not English and who come from low-income families.

B. Specific needs of the LEA which justify the development of a bilingual program have been identified through the assessment of present and former programs which the LEA has conducted to improve the educational opportunities of children whose native language is not English.

II. TARGET GROUP

Target group is selected from among those schools in the district with the greatest need and provides for participation of:

--non-public school children with similar needs, proportionate to the total number of these children in the project area;

--children not enrolled full time;

--parents of children whose dominant language is not English who would participate in the program.

III. OBJECTIVES

A. Proposed objectives are related to the stated needs and express specific behavioral changes which bilingual education is intended to produce.

B. Behavioral changes desired for the first year of the project appear feasible and appropriate as first steps in achieving the long-range program objectives.

IV. PROGRAM PROCEDURES

A. Program procedures are designed to achieve specific behavioral changes in each group of potential participants during the first year.

B. Methods, techniques, and materials projected for use in the project show an awareness of research findings, knowledge of recognized experts, and the results of similar programs.

V. PROJECTED DAILY SCHEDULES

A. Projected daily schedule includes bilingual instruction in content areas and is not limited to instruction in language skills.

B. Projected daily schedule for the second year shows logical progression toward a comprehensive bilingual program.

VI. STAFF DEVELOPMENT

Plans for staff development and training appear adequate.

VII. PARENT INVOLVEMENT

Evidence is presented that the project would establish and maintain continuing involvement of parents in planning and operating the program.

VIII. PLANNING STRATEGY FOR FORMAL PROPOSAL

Planning strategy shows commitment and capability for the development of an effective bilingual education program.

IX. LOCAL COMMITMENT

Local educational agency's financial commitment (present and projected) shows genuine support for bilingual education.

PROGRAMS UNDER BILINGUAL EDUCATION ACT (Title VII, ESEA)

D. DEVELOPMENTAL GRANT APPLICATION

Title of proposal: (Give a brief project title of 10 words or less)

Submitted by: _____
(local educational agency)

_____
(street address)

_____
(city, State and zip code) (phone number)

I hereby certify that the information contained in this application is correct to the best of my knowledge, and the local educational agency named above has authorized me as its representative to file this application.

Signature of person authorized to receive grant _____

Title _____

Date submitted _____

Enclosed are Part I - Narrative, Part II - Proposed Budget Summary, and Assurances.

DRAFT

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

PROGRAMS UNDER BILINGUAL EDUCATION ACT, TITLE VII, ESEA *(P.L. 90-247)*
DEVELOPMENTAL GRANT APPLICATION

PART I - NARRATIVE

FORM APPROVED
O.M.B. NO 51-R0835

STATE	DATE SUBMITTED	GRANTEE(S)

PROJECT TITLE	OE ASSIGNED PROJECT NUMBER

Use plain white paper *(8 1/2" x 11")*, identify each item and attach to this form.

A. Discuss any major departures from the planning strategy presented in the preliminary proposal. Give reasons for the change.

B. What local staff personnel, paid from other than Federal funds, will be involved in the developmental phase?

C. What additional staff will be needed to supplement the local staff during the developmental phase?

D. What local facilities will be used during the developmental phase?

E. What specific areas in the developmental phase will require outside technical assistance?

F. Relate the proposed use of outside technical assistance to the planning strategy.

G. Describe the need for technical assistance. State the performance specifications for each proposed consultant and/or technical assistance group.

H. Present in graphic form the weekly schedule of planned activities for the developmental phase.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

FORM APPROVED
O.M.B. NO. 51-R0835

OE ASSIGNED PROJECT NUMBER

PERIOD: BEG. END.

PROGRAMS UNDER BILINGUAL EDUCATION ACT, TITLE VII, ESEA *(P.L. 90-247)*
DEVELOPMENTAL GRANT APPLICATION

PART II - PROPOSED BUDGET SUMMARY

NAME OF APPLICANT AGENCY	ADDRESS *(Number, street, city, State and ZIP code)*

Expenditures for the purchase of equipment or for the remodeling of space are not eligible expenditures in a developmental grant.

CATEGORY	AMOUNT BUDGETED	TOTALS
SALARIES AND EMPLOYEE BENEFITS		
Professional		
Nonprofessional		
TOTAL *(Salaries and Benefits)*		$
CONTRACTED SERVICES		
Consultants		
Technical Assistance		
Other Contracted Services		
TOTAL *(Contracted Services)*		$
MATERIALS AND SUPPLIES		
Office Materials and Supplies		
Instructional Materials		
TOTAL *(Materials and Supplies)*		$
TRAVEL		
Mileage and Fares		
Per Diem Payments		
TOTAL *(Travel)*		$
OTHER EXPENSES		
Telephone, Postage, etc.		
Printing and Reproduction		
Other Miscellaneous		
TOTAL *(Other Expenses)*		$
GRAND TOTAL *(All Proposed Expenditures)*		$

OE FORM 4491-5, 8/70

CHAPTER FIVE

A PLAN FOR THE IMPLEMENTATION OF A BILINGUAL EDUCATION PROGRAM

PROCEDURES FOR SUBMISSION AND REVIEW

COVER LETTER

_____*

BILINGUAL EDUCATION PROGRAM

Under the Provisions of Title VII, ESEA

Title: Should not exceed ten words.

Submitted by: Legal Name(s) of Authorized Applicant(s)
Address, including zip code

Submitted to: Division of Plans and Supplementary Centers
Bureau of Elementary and Secondary Education
U. S. Office of Education
400 Maryland Avenue, S. W.
Washington, D. C. 20202

Date Transmitted: _____
Month Day Year

*Indicate the purpose for submitting this application: Initial Plan for the Implementation of a Bilingual Education Program; or Application for Continuation

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

FORM APPROVED
O.M.B. NO. 51-R0838

PROGRAMS UNDER BILINGUAL EDUCATION ACT, TITLE VII, ESEA
(P.L. 90-247)
APPLICATION - PART I - GENERAL INFORMATION

OE ASSIGNED PROJECT NUMBER

SECTION A - PROJECT INFORMATION

1. PURPOSE OF SUBMISSION OF THIS FORM
☐ PRELIMINARY PROPOSAL ☐ INITIAL PLAN ☐ CONTINUATION APPLICATION
YEAR *(Circle one)* 2 3 4 5

2. PROJECT TITLE

3. PROJECT SUMMARY *(For initial plan only)*

4. SUBMITTED BY *(Name of local education agency)*	A. ADDRESS *(Number, street, city, State, ZIP code)*
	B. OFFICE TELEPHONE *(Area code and number)*
C. NAME OF SUPERINTENDENT	
D. CONGRESSIONAL DISTRICT(S)	E. COUNTY(IES)
5. JOINT APPLICANT	A. ADDRESS *(Number, street, city, State, ZIP code)*
	B. OFFICE TELEPHONE *(Area code and number)*
C. SIGNATURE OF AUTHORIZED REPRESENTATIVE	
6. NAME OF PROJECT DIRECTOR	A. ADDRESS *(Number, street, city, State, ZIP code)*
	B. OFFICE TELEPHONE *(Area code and number)*

I CERTIFY that the information contained in this application is, to the best of my knowledge, correct and the local educational agency named above, has authorized me as its representative to file this application.

8. SIGNATURE OF PERSON AUTHORIZED TO RECEIVE GRANT	9. DATE SUBMITTED

OE FORM 4491, 9/70

APPLICATION - PROGRAMS UNDER BILINGUAL EDUCATION ACT - PART I - GENERAL INFORMATION

SECTION B – TITLE VII BUDGET SUMMARY FOR PROJECT *(See instructions)*

BREAKDOWN OF TOTAL ESTIMATED BUDGET BY SOURCE	1ST YEAR	2ND YEAR	3RD YEAR	4TH YEAR	5TH YEAR	TOTAL
1. Title VII Funds						
2. Other Federal Funds						
3. Local Funds						
4. State Funds						
5. Other Funds						
6. TOTAL ESTIMATED BUDGET						

SECTION C – PUPIL POPULATION DATA *(See instructions and notes)*

PUPIL POPULATION DATA AS OF THE MOST RECENT OCTOBER 1		PRE-K	KINDER-GARTEN	FIRST	SECOND	THIRD	OTHER ELEM	SECOND-ARY	TOTAL
1. Total LEA enrollment	Public school *(1)*								
	Nonpublic school *(2)*								
2. Number of children in LEA whose dominant language is NOT English	Public School *(1)*								
	Nonpublic school *(2)*								
3. Enrollment of project area	Public school *(1)*								
	Nonpublic school *(2)*								
4. Number of children in project area whose dominant language is NOT English	Public school *(1)*								
	Nonpublic school *(2)*								
5. Number of children in project area whose dominant language is NOT English who would participate in project	Public school *(1)*								
	Nonpublic school *(2)*								
6. Number of children in project area whose dominant language IS English who would participate in the project	Public school *(1)*								
	Nonpublic school *(2)*								
7. Total number of children in project area who would participate in project *(add items 5 and 6)*	Public school *(1)* (5 (1) + 6 (1))								
	Nonpublic school *(2)* (5 (2) + 6 (2))								
	TOTAL (7 (1) + 7 (2))								

OE FORM 4491, 9/70

APPLICATION – PROGRAMS UNDER BILINGUAL EDUCATION ACT – PART I – GENERAL INFORMATION

SECTION D – TOTAL PROJECT PARTICIPANTS

	NUMBER		
1. Total pupil participation *(Total column, Section C, item 7)*		5. Percent of item 1 whose dominant language is not English and who come from low-income families	_____ %
2. Staff engaged in inservice training		6. Estimated percentage of target group which is – Rural *(fewer than 2500 inhabitants)*	_____ %
3. Adults		Urban *(2500 or more inhabitants)*	_____ %
		7. Estimated percentage of children from migrant families	_____ %
4. TOTAL number of project participants *(1 thru 3)*		8. DOMINANT LANGUAGE(S) OTHER THAN ENGLISH	

SECTION E – PARTICIPATING SCHOOLS *(See instructions)*

NAMES OF PARTICIPATING SCHOOLS	LOCATION OF SCHOOLS	EACH GRADE LEVEL(S) INVOLVED	NUMBER OF CLASSES	ENROLLMENT		PARTICIPATION	
				TOTAL ENROLLMENT	NO. OF CHILDREN WHOSE DOMINANT LANGUAGE IS NOT ENGLISH	NO. OF CHILDREN WHOSE DOMINANT LANGUAGE IS NOT ENGLISH	NO. OF CHILDREN WHOSE DOMINANT LANGUAGE IS ENGLISH
(1)	*(2)*	*(3)*	*(4)*	*(5)*	*(6)*	*(7)*	*(8)*

OE FORM 4491, 9/70

APPLICATION – PROGRAMS UNDER BILINGUAL EDUCATION ACT – PART I – GENERAL INFORMATION

SECTION F – TOTAL BILINGUAL PROGRAM STAFF *(See instructions)*

POSITION CATEGORY (a)	POSITIONS ASSIGNED TO PROJECT			
	NUMBER FULL TIME (b)	PART TIME		TOTAL FULL-TIME EQUIVALENT *(Columns b + d)* (e)
		NUMBER (c)	FULL-TIME EQUIVALENT (d)	
1. Administration/Supervision				
2. Teacher				
a. Pre-kindergarten				
b. Kindergarten				
c. Grades 1-6				
d. Grades 7-12				
e. Other				
3. Specialists				
4. Pupil Personnel Workers				
5. Evaluators				
6. Teacher Assistants, Teacher Aides				
7. Community Liaisons				
8. Clerical Personnel				
9. All Other Personnel				

REMARKS

OE FORM 4491, 9/70

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

INSTRUCTIONS FOR COMPLETING OE FORM 4491, PROGRAMS UNDER BILINGUAL EDUCATION ACT, TITLE VII, ESEA APPLICATION - PART I - GENERAL INFORMATION

PART I - GENERAL INFORMATION

This form is submitted as Part I of the Preliminary Proposal, the Initial Plan, and the Continuation Application. The form is designed to provide information on proposed project activities in the Preliminary Proposal; for the first year of operation of the Initial Plan; and in the Continuation Application for the 2nd, 3rd, 4th, or 5th year of operation. For the Initial Plan and the Continuation Application, enter the project number assigned by the Office of Education to the Preliminary Proposal.

SECTION A - PROJECT INFORMATION

Check purpose of submission of this form. If Continuation Application is checked, circle the applicable year of operation for which the application is made.

Project Title - give a brief project title of 10 words or less.

Project Summary - (for Initial Plan only) briefly summarize the purpose of the proposed project. The summary should be no more than 250 words in length, and may be typed on a separate sheet of paper.

Congressional District(s) and County(ies) list the congressional districts by number and counties by name in which participating schools are located.

Joint Applicant - to be completed only when project proposal is a joint application. Use a separate sheet of paper if more than one joint applicant is applying, and include the same information as requested on the face of the application. The signature of the authorized representative(s) signify the agency's concurrence to the project proposal's terms and conditions, and to the selection of the local educational agency.

Signature of person authorized to receive grant - signature of this individual certifies that the local educational agency has authorized him to file the application with the U.S. Office of Education.

SECTION B - TITLE VII BUDGET SUMMARY FOR PROJECTS

For the Preliminary Proposal, complete only Item B.1. - Title VII funds for each of the five-year periods and five-year total.

For the Initial Plan, give the estimated total project budget (B.6) by source of funds (B.1 through 5).

For the Continuation Application, report the actual annual budget by source of funds for previous project years, and include the estimated project budget (B.1-5). Give only the estimated Title VII funds required for future project years.

SECTION C - PUPIL POPULATION DATA

Complete all Items 1, 2, 3, 4, 5, 6, and 7 for the Preliminary Proposal, the Initial Plan, and the Continuation Application.

Pupil Population Data as of the most recent October 1 -

Give data for all grade levels of the LEA and project area to be served. Item 1.e., f., and g would include as participants children enrolled in bilingual education classes for part or all of their daily instruction.

Project Area - The project area is the legal attendance area(s) served by the school(s) from which the target group is selected. The project area may be the total area served by the local educational agency, or any legal subdivision thereof.

SECTION D - TOTAL PROJECT PARTICIPANTS -

Complete as indicated.

1. Total Pupil Participation (See Total column, Sec. C, Item 7).
2. Staff engaged in inservice training - enter the number of Title VII staff members, including teachers, teacher assistants, teacher aides, and administrative and supervisory personnel where applicable, who will receive inservice training other than orientation activities through the project.
3. Adults - (Exclude staff) Include individuals 18 years and over, such as parents and community representatives, who are not enrolled in the regular elementary and secondary daytime programs, and who will be served by the projects or who will serve as project advisors but not staff.
4. Total project participants - add items 1, 2, and 3.

5. Low-income families - refers to those with incomes below $3,000 per year or who receive payments under a program of aid to families with dependent children under Title IV of the Social Security Act.

6. Target Group - includes all children who will participate in the bilingual education project.

   Rural or urban target group - complete as indicated.

7. Children from migrant families - estimate what percentage of the total pupil participation (Sec. C, Item 7) will be children from migrant families.

   Migrant Children - children whose parents are migrant workers and who are within the age limits for which the local school district provides free public education.

8. Dominant Language(s) - indicate the dominant language(s) other than English which will be used as medium(s) of instruction.

SECTION E - PARTICIPATING SCHOOLS

Names of Participating Schools - list the name of each school that will be participating in the bilingual education program, and list it as many times as necessary if the school is participating with more than one grade level. Identify nonpublic schools with (N-P).

Location of Schools - name the city in which the school is located.

Each Grade Level(s) Involved - for each school participating, list separately each grade level involved.

Number of Classes - list the number of classes per grade level.

Enrollment - In column 5 give the total number of children enrolled in the participating school; in column 6, the total number of enrollees whose dominant language is not English.

Participation - Give the number of children participating whose dominant language is not English (column 7) and the number of children participating whose dominant language is English (column 8).

SECTION F - TOTAL BILINGUAL PROGRAM STAFF - (Only for Initial Plan and Continuation Application)

This form presents data for all positions, filled or vacant, which are assigned to the program, on part- or full-time basis regardless of source of funding. Positions paid from Local Educational Agency funds are therefore included. Do not include consultants.

Column a: Position Categories

1. ADMINISTRATION/SUPERVISION: Director, assistant director, inservice supervisors, program coordinators, etc.

2. TEACHER: Make pertinent entries opposite subcategories listed.

3. SPECIALISTS: Non-teaching, non-supervisory personnel such as curriculum developers and librarians who have specialties other than those reflected elsewhere in column a.

4. PUPIL PERSONNEL WORKERS: Counselors, social workers, school psychologists, etc.

5. EVALUATORS: Personnel, using statistical analysis and other evaluative techniques and instruments, who devote most of their time to planning or carrying out project evaluation activities including the development of performance objectives.

6. TEACHER ASSISTANTS AND TEACHER AIDES: Classroom workers, normally not certified as teachers, who assist the classroom teacher.

7. COMMUNITY LIAISONS: Persons, normally not certified as teachers, who work primarily outside the classroom to develop or maintain effective parental and community participation in the program.

8. CLERICAL PERSONNEL: Secretaries, typists, bookkeepers, etc.

9. ALL OTHER PERSONNEL: Positions not falling in other categories.

Column b: Full-Time

Enter number of positions assigned full-time to the project in one of the 9 categories listed in column a. If a full-time employee works part-time in more than one position category, this should be reflected in entries in columns c and d, opposite the categories applicable.

Column c: Part-Time, Number

Enter number of positions filled on a part-time basis.

Column d: Part-Time, Full-Time Equiv.

Enter full-time equivalent of part-time positions only. To compute the full-time equivalent (FTE), add the total number of hours worked per week by part-time personnel and divide by the number of hours in the regular full-time work week. Example (40-hour work week basis: if each of 4 staff members works 20 hours per week, and each of 2 staff members works 10 hours per week, the total hours worked would be 80 plus 20, or 100 hours. One hundred hours divided by 40 yields an FTE figure of 2.5 persons.)

Column e: Total Full-Time Equiv.

Add numbers in columns b and d for each position category.

C. PLAN FOR THE IMPLEMENTATION OF A BILINGUAL EDUCATION PROGRAM

1. Abstract

Provide a one-page abstract which identifies (1) the needs of the target group; (2) the five-year program objectives and their relation to the long-range goals; (3) the major first-year objectives; and (4) the project components designed to achieve the first-year objectives.

2. Planning Strategy

Explain the degree to which program planning adhered to the planning strategy outlined in your preliminary proposal. Identify by name and occupation the individuals and groups (including community representatives) that participated in the development of the Plan and indicate the nature and extent of their contributions.

3. Needs Assessment

a. Justification for a bilingual project

(1) Give the numbers and location of children from environments in which the dominant language is not English, including the enrollment of these children as a percentage of the total school enrollment of the LEA and as percentages of the enrollments in the schools with high concentrations. Indicate where the project will be located (project area) and if not in the school or schools with the highest concentration, explain why.

(2) Provide evidence concerning the linguistic competence of the children in the project area and indicate how the evidence was obtained, including descriptions of any testing instruments and interview techniques used.

(3) Provide evidence that the educational needs of the children are not currently being met. If the LEA has conducted previous programs designed specifically for these children, such as programs emphasizing English-as-a-second-language, explain why bilingual education should now be introduced.

(4) Provide the number and percent of children from families with incomes of $3,000 or less per year, or receiving payments under a State plan approved under Title IV of the Social Security Act.

b. Participation of English-speaking children and children from nonprofit private schools

If the school in theproject area has English-speaking children, explain how they will participate in the program. If there are non-profit private schools in the area, explain how provision will be made for the participation of their students whose dominant language is not English.

4. Goals and Objectives

a. Long-range goals

Describe the desired outcomes of bilingual education for the individual child whose native language is not English, for the

total group of such children in the project area, for English-speaking children, for teachers, for adults, and for others whom the project is designed to serve.

b. Five-year project objectives

List the objectives for the total possible period of Federal funding, i.e., five years. Relate these to the desired outcomes described in (4a) above.

c. First-year objectives

List the first-year project objectives which will be the basis for developing components of the project and for developing performance objectives for each component.

5. Project Components

a. General Orientation

A project should be organized into components for which specific information is to be provided. Depending upon the emphasis of the particular project, the specific needs of the target group are indicated in the long-range goals. Projects will generally include the following components:

(1) Instructional program

(2) Materials development

(3) Staff development

(4) Parent and community involvement.

For special instructions regarding each component, see Chapter III, particularly the following sections: Structure for Component Design of Projects, Performance Objectives, Evaluation, Parent

and Community Involvement and Staff Recruitment and Development.

The following should be provided for each component:

(1) A chart or charts listing performance objectives (for product and process) and the means of evaluation (Items A-I)

(2) Materials to be Used (Item J)

(3) Staffing (Item K)

(4) Facilities and Equipment (Item L)

(5) Technical Assistance (Item M)

(6) Budget Requirements (Item N)

When a component is designed to serve a target group of more than one dominant language, separate sets of objectives should be developed for each language group. For example, the objectives of a Spanish language arts program for native speakers of Spanish would differ from a Spanish-as-a-second-language program for monolingual speakers of English. Objectives for training native speakers of Spanish to teach science in Spanish will differ from teaching conversation Spanish to monolingual English speaking teachers. Likewise, the objectives for development of materials for these two programs will differ.

A separate set of performance objectives should be developed for each grade level, where applicable.

b. Component Charts

The performance objectives (for product and process) and evaluation (for product and process) should be placed on a chart in such a way that the relationships between objectives and evaluation procedures can be

easily seen. A sample format for developing the charts will be discussed below.

Instructions for Providing Information on Project Components

The following instructions lettered A-I correspond with items on the sample chart. Items J-N should be provided on supplementary pages. Items B, C, and J (Dominant Language, Grade Level, and Materials to be Used) need not be provided for the Parent and Community Involvement component.

A. Name of Component

Fill in the appropriate information based on the above discussion of components. Repeat on each successive page of the chart as an aid for reference.

B. Dominant Language

Fill in the appropriate information based on the above discussion. Repeat on each successive page of the chart as an aid for reference.

C. Grade Level

Fill in the appropriate information based on the above discussion. Repeat on each successive page of the chart as an aid for reference.

D. Number of Participants

Fill in only the number of those intended to participate in the component designated.

E. Program Objectives

Fill in the program objective(s) that is/are related specifically to the performance objectives to be stated below.

F. Performance Objectives (Product)

In this column list the performance objectives (product) which the group designated in the headings is expected to achieve during the first year. Objectives must be clearly related to the long-range goals and the five-year objectives. The instrument for measuring achievement of the objective should also be identified. (For additional information, see Chapter III, Performance Objectives.)

G. Evaluation (Product)

This column should contain: (1) the date(s) of frequency of measurement; (2) the name of the person(s) responsible for the measurement; (3) a description of the data-collecting and reporting procedures; and (4) a description of the data-analysis procedures.

H. Performance Objectives (Process)

This column should contain a list of the performance objectives for the process or activities intended to achieve the product objectives. Each process should be specifically related to the product desired. If separate charts of product and process objectives are used, then the chart for the process objectives should immediately follow the chart for the related product. Performance objectives should include the frequency with which materials, texts, or principal reference materials will be used; the major instructional or organizational approaches to be utilized; and the instrument (formal or informal) for measuring achievement of the objective. If a particular language competency is necessary for implementing a process, this competency should be described. (For additional information, see Chapter III, Performance Objectives.)

I. Evaluation (Process)

This column should contain: (1) the dates or frequency of measurement; (2) the name of the person(s) responsible for the measurement; (3) a description of the data-collecting and reporting procedures; and (4) a description of the data-analysis procedures.

Responses to items J-N below should be provided on supplementary pages. For easy reference, indicate at the top of each page the name of the component, the dominant language, and the grade level.

J. Materials to be Used

The performance objectives for process should have indicated the basic materials needed to accomplish the objectives. If any additional materials are to be used, they should be listed at this point.

K. Staffing

List professional and other personnel who will be needed to conduct this component of the bilingual program, stating the percent of time each will be involved in project activities. Briefly describe the responsibilities of each position, including, where applicable, the grade level, subject matter to be taught, and student-teacher ratio. State the minimum qualifications for each position, including educational background, experience, and language competency. When staff persons are already known, give the names, educational background, and appropriate experience. When teachers and other project personnel normally paid with local funds would be paid with Title VII funds, describe how this would supplement and not supplant local staffing and financial commitment

L. Facilities and Equipment

1. Facilities

Describe the location and nature of facilities to be used for this component of the bilingual program. If facilities are to be leased, (a) indicate the ownership of the facilities; (b) describe terms of the lease; and (c) justify the need to lease facilities.

2. Equipment

Justify the need for additional equipment to conduct this component of the bilingual program, and give evidence of the efforts to obtain this equipment through other financial sources. If the decision has been made to purchase rather than rent equipment, the choice must be justified.

M. Technical Assistance

1. Contracted Services

When applicable, give the names of individuals or organizations with which a contract will be made to provide services for the component, and provide the following information: (a) proposed operating dates; (b) type of contract; (c) services to be provided; (d) responsibilities to be retained for the control and supervision of the contracted services; (f) frequency of reporting to LEA; (g) qualifications or experience of contractor; and (h) contract price.

2. Consultant Services

Describe the types of consultative services which will be needed for this component of the bilingual program. List the

proposed activities of the consultants and strategies for evaluating their performance. The following information is needed for each consultant: (a) projected dates for rendering services; (b) daily fee; (c) types and number of written reports that will be required; (d) proposed travel, including per diem and travel allowance, when applicable; and (e) qualifications or experience (in résumé form).

N. Budget Requirements

Provide an itemized budget for this component of the bilingual program, listing salaries, fees and other methods of reimbursement, and percentage of full-time involvement of each staff member. Indicate the proposed extent of local as compared to Title VII contributions for each item, including personnel, materials and supplies, equipment and facilities, and estimate their financial value.

BILINGUAL PROCEDURES

A. COMPONENT NAME_____ B. DOMINANT LANGUAGE_____ C. GRADE LEVEL _____

D. NO. OF PARTICIPANTS_____ P R O D U C T E. Program Objectives:

F. PERFORMANCE OBJECTIVES (Includes name or description of instrument)	G. EVALUATION		
	Date or Frequency of Measurement	Person(s) Responsible	**Other kinds of data and reports to be collected. Dates due.**

DRAFT

BILINGUAL PROCEDURES

A. COMPONENT NAME _____ B. DOMINANT LANGUAGE _____ C. GRADE LEVEL _____

P R O C E S S

E. PROGRAM OBJECTIVES:

H. PERFORMANCE OBJECTIVE (Includes name or description of instrument)	I. EVALUATION Date or Frequency of Measurement	Person(s) Responsible	**Other kinds of data and reports to be collected. Dates due.**

DRAFT

6. **Overall Program Management**

a. Organization and Staffing Chart

Provide information about organization and staffing on a chart showing project positions (by name of incumbent if position is filled, and by title) and their organizational relationship to administrative positions of the school district. Include all project positions whether or not they are paid from Title VII funds. The information may be presented on an organization chart of the school system if desired.

b. Position Qualifications and Responsibilities of Project Director

List the qualifications and major responsibilities of the project director and other administrative staff if such information is not included under Project Components.

c. Project Time Line

Present a project time line to show dates for key project events and completion dates for major activities and tasks; e.g., administration of the most essential tests, inservice program sessions, delivery of newly developed instructional materials to classroom teachers, staff meetings, parent advisory group meetings, evaluation and audit reports, and deadlines for official requests to the USOE for project continuation into the next grant period. Time line dates should be linked directly to the Plan for product outcomes and to the operational processes for each component.

d. Evaluation

Indicate the kinds of data which will be recorded regularly by the

project administrative staff to show the extent to which the project is being implemented according to the Plan and to enable an assessment of the effectiveness of project management.

7. Independent Educational Accomplishment Audit

Describe plans for an impartial agency to conduct an educational accomplishment audit of the program. Identify the agency that would perform this function. Include a résumé of the qualifications and experience of the auditor(s), a schedule of audit activities and reports, and an estimate of the cost of the audit. (See Chapter III-G for information concerning the Independent Educational Accomplishment Audit.)

a. Adequacy Checklist for Written Audit Agreement (See page 134.)

8. Budget Requirements

Include a budget summary for all funds requested, using the forms provided. As an appendix, include the State and local salary scales to indicate comparability of positions in the areas requiring similar responsibilities.

See pages 148-156 for budget forms and instructions.

7.a. ESSENTIAL ELEMENTS OF THE WRITTEN AGREEMENT BETWEEN THE EDUCATIONAL AUDITOR AND THE LEA

The following essential elements to be included in the written agreement between the independent educational accomplishment auditor and the LEA are provided as a checklist for the adequacy of the agreement provisions. This checklist is directly related to Exhibits A, B and D of the paper on the Independent Educational Accomplishment Audit in Chapter III.

1. Statement outlining the services and products which the auditor will provide in order to:

   a. verify the results of the project evaluation and
   b. assess the appropriateness of the evaluation procedures

   Audit Agreement Adequacy Checks

   (1) Is the audit plan referenced to a specific project and OE grant number?
   (2) Is the purpose of the audit plan specified: verify/assess-product/operational process/management process evaluation plan?
   (3) Are types of staff services specified (site visit, statistical, report writing, etc.), and percent of time of key-staff indicated?
   (4) Are products specified (reports, conferences, etc.)?

2. Names of audit personnel and résumés of their qualifications

   Audit Agreement Adequacy Checks

   (1) Is information sufficient to establish training/experience at adequate level?
   (2) Is information sufficient to establish training/experience of adequate scope?
   (3) Is provision made for LEA/OE approval of staff changes in accordance with grant terms and conditions?

3. Specifications concerning the documents and services (such as secretarial, office space, transportation, and communication during the on-site visits) which the LEA will provide the auditor

Audit Agreement Adequacy Checks

(1) Are document-availability arrangements clear (Exhibit B)?
(2) Are specific (or all) service responsibilities clearly established?

4. Scheduling specifications, including approximate dates for submission of evaluation documents to auditor by LEA, approximate dates and minimum number and approximate length of audit visits, audit reporting dates, etc.

Audit Agreement Adequacy Checks

(1) Are key audit-plan time points indicated in relation to evaluation plan "milestones"?
(2) Are key audit-plan time points related to continuation requirements?

5. Specifications concerning the sampling techniques and procedures to be used by the auditor

Audit Agreement Adequacy Checks

(1) Are audit sampling techniques and procedures indicated appropriate to those general and component evaluation-plan elements developed to date (general procedure/purpose)?

(2) Are quality/quantity standards indicated for audit-plan procedures or activities?

6. Specifications concerning the audit reports: their number, major topics to be included, who will prepare and certify them, to whom they will be submitted, etc.

Audit Agreement Adequacy Checks

(1) Are major OE specifications for audit report content agreed to (Exhibit D)?

(2) Are quality/quantity standards indicated for audit reports?

7. Specifications concerning the auditor's access to documents and persons, assurances of confidentiality, and any other special provisions required by the LEA or the auditor

Audit Agreement Adequacy Checks

(1) Are specific (or no) limitations clearly established?
(2) Are conditions of confidentiality established? dissemination responsibilities?

8. Agreement budget and payment schedule

Audit Agreement Adequacy Checks

(1) Does budget show basis for computation of agreement cost on services to be performed within the grant period?
(2) Is payment schedule related to delivery of key work items (e.g., pre-audit)?
(3) Is final payment reserved until receipt of final audit report completed in accordance with item 6.-(2)?
(4) Are responsible agents for LEA and audit agency established?

9. Penalty and incentive clauses (if any)

Audit Agreement Adequacy Checks

Are there suitable protection clauses for non-performance?

10. General Audit Agreement Adequacy Checks

(1) Does the audit plan reflect our current concept of auditor role throughout?
(2) Does the audit plan indicate positive impact on a specific comprehensive evaluation plan?

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

PROGRAMS UNDER BILINGUAL EDUCATION ACT, TITLE VII, ESEA
DEVELOPMENTAL GRANT APPLICATION
OR
INITIAL PLAN

PROVISIONS AND ASSURANCES

THE APPLICANT HEREBY STATES AND GIVES ASSURANCE TO THE U.S. COMMISSIONER OF EDUCATION THAT:

1. The applicant has the necessary legal authority to apply for and receive the proposed grant. *(Attach a copy of substantiating documents);*

2. The activities and services for which assistance is sought under Title VII will be administered by or under the supervision of the applicant;

3. In carrying out the program proposed in the application, the cultural and educational resources of the area to be served will be utilized.

4. Funds under Title VII will be so used to supplement State and local funds expended for such educational purposes and, to the extent practical, increase the fiscal effort that would in the absence of such funds be made by the applicant for such educational purposes;

5. The applicant will comply with Title VI of the Civil Rights Act of 1964 *(P. L. 88-352)* and all requirements imposed by, or pursuant to, the Regulations of the Department of Health, Education, and Welfare *(45 CFR, Part 80)* issued pursuant to the title, to the end that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under activity for which the applicant receives Federal financial assistance from the Department. *(The Assurance of Compliance (HEW 441), or court order, or desegregation plan previously filed with the U.S. Office of Education in accordance with the Department of Health, Education, and Welfare Regulations applies to this application);*

6. The project will be operated in compliance with the Bilingual Education Act and with Regulations and other policies and administrative issuances by the Commissioner, including submission of such reports as may be required;

7. The project makes provisions for the participation of children enrolled in nonprofit private schools in the area to be served, to the extent consistent with the number of such children whose educational needs are of the type served by the project;

8. All equipment acquired under Title VII of the Act will be used for the purposes specified in the approved project proposal, and such equipment will be subject to the administrative control of the recipient local educational agency;

9. These provisions and assurances will apply to the Developmental Grant and all subsequent grants, if the application and subsequent continuation requests are approved by the U.S. Office of Education.

I, _____, do hereby certify that all of the facts, figrues, and representations made in this application, including all exhibits and attachments hereto and hereby made a part of this application, are true and correct to the best of my knowledge and belief.

LEGAL NAME OF APPLICANT		DATE
BY SIGNATURE OF AUTHORIZED REPRESENTATIVE	REPRESENTATIVE'S TITLE	

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D. CRITERIA FOR THE EVALUATION OF PLANS FOR THE IMPLEMENTATION OF BILINGUAL EDUCATION PROGRAMS

I. ASSESSMENT OF NEEDS

A. Proposed program is designed to serve children 3-18 years of age whose first language is not English, who have limited English-speaking ability, and who come from low-income families.

B. The target group is selected from a school (or schools) with the highest concentrations of non-English-speaking students.

C. Adequate provisions are made for the participation of:

1. Nonpublic school children consistent with the total number of children in the area with similar needs;

2. Children not enrolled in school on a full-time basis;

3. English-speaking children, consistent with the number enrolled in target schools;

4. Parents of children to be served by the bilingual program.

II. COMMUNITY INVOLVEMENT IN PLANNING

Proposed plan gives evidence that program planning involved appropriate representatives from the community in actual program design.

III. GOALS AND OBJECTIVES

A. Long-range goals are stated in terms of all populations to be served, consistent with the purpose of ESEA Title VII.

B. Five-year objectives are appropriately related to long-range goals.

C. First-year project objectives are appropriate first steps to reaching five-year objectives and long-range goals.

IV. PROJECT COMPONENTS

A. Overall program component delineation is logically derived from first-year project objectives.

B. Performance objectives for product are adequately specified for each project component.

C. Performance objectives for process for each project component are adequately specified in terms of reaching specific product objectives.

D. Evaluation design is adequately related to the measurement of specific products and processes, including the description of:

1. measurements to be used;

2. data collection procedures;

3. data analysis techniques;

4. data reporting procedures.

E. Evidence is given that the methods, techniques, procedures, materials, to be used in each program component were designed and/or selected with awareness of results from similar program research findings, and/or the knowledge of recognized experts.

F. Instructional component design is feasible and a logical first step in the development of a total bilingual education program, considering language abilities and needs of all children in the target group.

1. The amount of time devoted to instruction using either the dominant language or the second language as a medium of instruction at each grade level for specific content areas is clearly defined and appears appropriate to the language abilities of the children in the target group.

2. Instruction in English-as-a-second language is provided for children whose first language is not English.

3. The study of the history and cultural heritage reflecting the value systems associated with each language is provided as an integral part of the total curriculum.

G. Administrative and staffing structure is adequate and feasible.

1. All administrative levels which will process information, make decisions, and perform critical functions are specified.

2. Specific staffing pattern for each component is adequate; qualifications for each position are appropriate.

3. Evidence is given that positions can be filled within a reasonable period of time.

H. Facilities and equipment

1. Facilities to be used for each component are adequate and appropriate.

2. Purchase or rental of additional equipment for program operation is justified.

I. Technical assistance

1. Adequate specifications for proposed contracted services are provided.

2. Descriptions for the use of consultants for specific services, including method of evaluating their performance, are given.

V. MANAGEMENT CAPABILITY

A. Adequate plan is set forth to provide for the orderly installation and implementation of the various program components, while allowing flexibility to modify plans and procedures in light of evaluation data. Timeline is given and related directly to major outcomes and processes specified in the evaluation design.

B. Provisions are made for an independent educational performance audit contract, as well as the agency or agencies being considered to perform this function, according to specifications given in Title VII Manual for Applicants and Grantees.

VI. BUDGET REQUIREMENTS

A. Budget for each component is appropriate in terms of the value of anticipated outcomes and total cost of the program.

B. Adequate indicators, criteria, and/or measures for determining the costs and effectiveness of performance processes and outcomes are provided.

C. Evidence is given of local annual commitment to the project in terms of dollars, personnel, materials and equipment, and facilities and of tentative commitment to continue support after Federal funding terminates.

CHAPTER SIX

APPLICATION FOR CONTINUATION: PROCEDURES FOR SUBMISSION

I. PROJECT EXPANSION

Generally, Title VII, ESEA bilingual education programs will be limited to vertical expansion during the second year of operation. Vertical Expansion is the extension of instructional services to one grade beyond that of the first year's program, with a commitment that services offered during the first year will be continued as originally provided or modified as the result of evaluation. For example, a project serving kindergarten and first-grade students, during the first year will be allowed to extend services to the second-grade level, thus enabling the first-year first-grade participants to continue in a bilingual program, the first year kindergarteners to move up to a bilingual first grade and a new class of kindergarteners to enter a bilingual program.

Support for expansion other than a vertical type will be approved only in those cases where strong justification can be provided in terms of unique project needs or conditions.

II. PROCEDURES FOR SUBMISSION

A grant under ESEA Title VII expires annually and the proposal for continuation may be reviewed each year for up to 5 years. An application for continuation must be submitted 60 days prior to the current grant expiration date. Ten copies of the complete application must be submitted to the U.S. Office of Education.

Attn: Director
Division of Plans and Supplementary Centers
U.S. Office of Education
400 Maryland Avenue, S.W.
Washington, D.C. 20202

At the same time, the number of copies required by the State educational agency should be submitted to that agency.

III. REQUIREMENTS FOR APPLICATION FOR CONTINUATION

The Application for Continuation under Title VII of ESEA consists of two main parts. Part I: General Information concerns the requisite data for participating students, schools, and staff. (See page 111) Part II: Presentation of a Plan concerns the assessment of the current year's operation as well as the description of plans for the continuing program the next year. Both parts must be submitted with the Cover Letter. (See page 110)

In addition, the independent educational accomplishment audit reports received by USOE during the current year will be considered as a required part of the Continuation Application. (See Chapter III, page 58 on submission of audit reports.)

C. Part II: Presentation of a Plan

Part II of the continuation application will consist of a narrative covering the following areas:

1. Review of the first year activities
2. Plans for the second year of operation

1. Review of First Year's Operations

This report should include the following:

A. The degree to which first year product/process objectives have been met as supported by available evaluation data.

B. An analysis of successes and failures in meeting performance objectives.

C. Modifications of long range and/or five-year objectives as a result of the first year's operations, if applicable.

D. Modifications or refinements of the program as originally approved (i.e., assessment of needs, staff development, community involvement, etc.).

E. General assessment of the impact of the first year's operation on participating groups - students, parents, teachers, community--including unexpected effects.

2. Plans for the Second Year of Operation

The grantee must submit a plan for implementing the second year of the program by components which should include instructional program, materials acquisition, adaptation and development, staff development, and parental and community involvement. This plan should incorporate

the revised evaluation design as a result of the first year's operation, as well as the evaluation design, by components, for the proposed second year's operation.

3. Independent Educational Accomplishment Audit

A continuation application must include provisions for an independent educational accomplishment audit to be performed during the second year of the program.

Evidence of arrangements with qualified organizations or persons to perform an audit must be a part of this application. If such provisions are not complete, procedures to survey the available resources to conduct such an audit must be precisely outlined.

In those cases when audit arrangements have been made, submit the following:

1. Names of auditor or audit team members.
2. Qualifications of the auditor(s).
3. Schedule for pre-audit activities.
4. Date for submission of proposed audit contract.

NOTE: Pre-audit activities are allowable and payable on consultant fee basis prior to final approval of the audit contract. All audit plans must be submitted to U.S.O.E. for approval by program and grants officer.

4. Overall Management Design

Describe the management design for the second year's operation according to the section on Management Process in Chapter III, covering organization and staffing chart, position qualifications and responsibilities of project director, project time line, and evaluation.

5. Budget Requirements

Provide itemized budgets for each component of the continuation application. Supply a total budget for all funds requested using the "Proposed Budget Summary/Expenditure Report of Federal Funds" (see page 149).

5a. BUDGET REQUIREMENT INSTRUCTIONS

The following financial form will be used as (a) a Proposed Budget Summary, of the Initial Plan for Implementation of a Bilingual Education Program; (b) Proposed Budget Summary, of the Application for Continuation; (c) Estimated Expenditure Report (of the current year's operation), of the Application for Continuation; and (d) the Final Expenditure Report.

Included with the financial form are instructions for its preparation as a proposed budget summary, as an estimated expenditure report, and as a final expenditure report. Note that a continuation application requires two proposed budget summaries, one proposed budget summary for the forthcoming year and another as the estimated expenditure report through the end of the current budget period, to be submitted as two separate financial forms.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

PROGRAMS UNDER BILINGUAL EDUCATION ACT, TITLE VII, ESEA *(P.L. 90-247)*
PART III – PROPOSED BUDGET SUMMARY/EXPENDITURE REPORT OF FEDERAL FUNDS

PLEASE READ INSTRUCTIONS BEFORE COMPLETING THIS FORM

FORM APPROVED
O.M.B. NO. 51-R0837

NAME AND ADDRESS OF AGENCY	PROJECT NUMBER	GRANT NUMBER	STATE

PART I - EXPENDITURES

(Check One) ☐ PROPOSED BUDGET SUMMARY *(Attach detail schedules)* ☐ ESTIMATED EXPENDITURE REPORT ☐ FINAL EXPENDITURE REPORT

BUDGET PERIOD *(Month, day & year)*: BEGINNING | ENDING

EXPENDITURE ACCOUNTS		EXPENSE CLASSIFICATION								
			SALARIES							
	FUNCTIONAL CLASSIFICATION *(1)*	ACC'T NO. *(2)*	PROFESSIONAL *(3)*	NON-PROFESSIONAL *(4)*	CONTRACTED SERVICES *(5)*	MATERIALS AND SUPPLIES *(6)*	TRAVEL *(7)*	EQUIPMENT *(8)*	OTHER EXPENSES *(9)*	TOTAL EXPENDITURES *(10)*	NEGOTIATED BUDGET *(11)*
1	Administration	100	$	$	$	$	$		$	$	$
2	Instruction	200									
3	Attendance Services	300									
4	Health Services	400									
5	Pupil Transportation Services	500									
6	Operation of Plant	600									
7	Maintenance of Plant	700									
8	Fixed Charges	800									
9	Food Services	900									
10	Student-body Activities	1000									
11	Community Services	1100									
12	Remodeling	1220c									
13	Capital Outlay *(Equipment only)*	1230									
14	TOTAL →		$	$	$	$	$	$	$	$	$
15	Negotiated Budget →		$	$	$	$	$	$	$		$

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PART II – SUMMARY – AUTHORIZATIONS, EXPENDITURES, AND BALANCES OF TITLE VII, ESEA FUNDS

BUDGET PERIOD *(Month, day, and year)*		☐ ESTIMATED EXPENDITURE REPORT ☐ FINAL EXPENDITURE REPORT
BEGINNING	ENDING	

1. Amount authorized for expenditures for budget period shown above		$
a. Unexpended funds from grant awarded for prior budget period, authorized for expenditure this budget period	$	
b. Approved grant award for budget period shown above	$	
c. **TOTAL FUNDS AUTHORIZED FOR BUDGET PERIOD ABOVE** *(Same as item 1)*	$	
2. Expenditures during budget period shown above		$
3. Unexpended balance of funds authorized for expenditure during budget period *(Line 1 minus line 2)*		$

PART III – CUMULATIVE TOTALS - GRANT AWARDS AND CASH RECEIVED SINCE PROJECT BEGAN

1. Total amount of grant awards issued to date	$
2. **TOTAL AMOUNT OF FEDERAL CASH RECEIVED TO DATE**	$

THIS FISCAL REPORT IS CORRECT AND THE EXPENDITURES INCLUDED HEREIN ARE DEEMED PROPERLY CHARGEABLE TO THE GRANT AWARD

SIGNATURE OF PROJECT FISCAL OFFICER	DATE
SIGNATURE OF PROJECT DIRECTOR	DATE

FOR OFFICE OF EDUCATION USE ONLY

ACCOUNTING DATA *(Program offices will complete items marked with an asterisk (*))*

* RECORD TYPE (1)	* FISCAL YEAR (2)	* APPROPRIATION SYMBOL * COMMON ACCOUNTING NO. (3-9)	* EFFECTIVE DATE (Mo., Day, Year) (10-15)	* REF. CODE (16-18)	* OBLIGATION/ DOCUMENT NUMBER (19-28)	* REF. CODE (29-31)	* CURRENT DOCUMENT NUMBER (32-41)	* OBJECT CLASS (42-45)

* AMOUNT (Dollars and cents) (46-57)		* NEGATIVE CODE	* ADMIN./ PROGRAM (58)	* SCI./ NON-SCI. (59)	* PRIMARY VENDOR NUMBER (60-74)	* SECONDARY VENDOR NUMBER (75-89)	* MANAGEMENT ACCOUNT CODE (90-99)

* MANAGEMENT SUB-ACCOUNT CODE (100-113)	TRANSACTION CODE (114-116)	MODIFIER CODE (117)	REVERSE CODE (118)	GENERAL LEDGER ACCOUNTS (119-126)	VOUCHER SCHEDULE NUMBER (127-132)	PROGRAM PLANNING BUDGET CODE (133-140)	BALANCE OF PAYMENTS CODE (141-142)	GOVT./ NON-GOVT. (143)	MACHINE NUMBER (144)

OE FORM 4491-2, 9/70

INSTRUCTIONS FOR COMPLETING OE FORM 4491-2
(Title VII, ESEA) PROPOSED BUDGET SUMMARY/EXPENDITURE REPORT OF FEDERAL FUNDS

This form has been designed to serve two major purposes - to summarize proposed budgets and to report estimated or actual expenditures. As a budget summary, the form is submitted with initial applications and with each continuation grant application. As an expenditure report, the form is submitted as part of continuation grant applications and end of budget period reports. Because of the dual nature of the form, it is very important that the purpose of the entries be identified in the boxes provide in Parts I and II. Detailed instructions re the completion of the forms are presented below. Definitions of items asterisked (*) will be found in the Manual.

PROPOSED BUDGET SUMMARY

General

1. Initial Applications - For project periods* exceeding 12 months, a budget summary will be prepared for the first budget period* of project activity. The dates of the budget period and the totals of the amounts shown in Part I, Column 10, line 14, must also be recorded in pertinent sections of the ESEA Title VII General Information Form.

2. Continuation Applications - For continuation applications, a proposed budget summary for only the next phase of project activity will be prepared.

How to Complete the Form

Project Number - Enter the project number assigned by USOE to the preliminary proposal.

Grant Number - Enter the grant number assigned by USOE to Developmental Grant Award.

State - Enter the name of your State.

Part I Expenditures - Check the box "Proposed Budget Summary" and show the beginning and ending date of the period for which the budgeted expenditures summarized in Part I are proposed.

Proposed ESEA Title VII expenditures must be categorized in accordance with the functional classification of standard expenditure accounts in OE-22017, "Functional Accounting for Local and State School Systems" in lines 1 through 13 of the form. The total dollar amount (no cents) for each classification are to be recorded in column 10, with subtotals indicated in appropriate expense classification columns (columns 3 through 9). Proposed expenditures for purchase of equipment will be shown in expense classification column 8, functional account 1230. Record equipment rental expenditures in expense classification 9 of the appropriate functional account. No entries should be made in line 15 or column 11.

Supplementary Schedules

Prepare a supplementary schedule for each educational component of project activity. The supplementary schedules should be divided into sections dealing with each functional expenditure account (i.e. 100,200, 300, etc.) for which expenditures are budgeted. The purpose of these schedules is to show what estimated costs were included in each entry, and the basis for each cost estimate. Examples of these schedules are shown below. Please note the following in preparing these schedules:

1. Salaries: Proposed expenditures for salaries of project personnel must detail the names of professionals and basis for the cost (annual, monthly, or hourly rates; amount of time to be devoted to the project). The detail of fringe benefit amounts is to be entered in the schedule for Expenditure Account Number 800.

2. Consultants: Proposed expenditures for consultants must show the number of days, the daily fee, and per diem estimates. List names of consultants wherever possible. In a footnote state whether rates are in accordance with generally accepted schedules and justify any material differences.

3. Travel: List local travel and basis for calculations separately from special trips. The number, destination, and average cost must be specified for special trips.

4. Equipment: Include in the schedule of proposed equipment purchases a rental cost comparison based on the anticipated project period.

EXPENDITURE ACCOUNT NO. 100 - Administration

EXPENSE CLASS	NAME AND TITLE, PURPOSE, OR ITEM	PROJECT TIME		QUANTITY	SALARY, RENTAL OR UNIT COST	AMOUNT BUDGETED
		FULL	PART			
Contracted Services	Shaw, Joe, Certified Public Accountant, financial audit					$ 250.00
Materials and Supplies	Office Supplies					175.00
	Supplies for project reports, administrative bulletins, newsletters, etc.					50.00
					Total Budgeted Amount	$ 475.00

EXPENDITURE ACCOUNT NO. 200 - Instruction

EXPENSE CLASS	NAME AND TITLE, PURPOSE, OR ITEM	PROJECT TIME FULL	PROJECT TIME PART	QUANTITY	SALARY, RENTAL OR UNIT COST	AMOUNT BUDGETED
Salaries Professional						
	Doe, James, Project Director	X			$12,000.00	$12,000.00
	Roe, George, Bilingual Teacher		½		9,000.00	4,500.00
	Smith, Joe, Bilingual Teacher	X			8,500.00	8,500.00
	Thomas, Ray, Supervisor of Instruction	X			8,500.00	8,500.00
Non-professional						
	Teacher aides	X			4,000.00	4,000.00
	Clerk		5 da.		@ 32.00	160.00
Contracted Services						
	Smith, John Consultant		5 da.		@ 50.00 [1]	250.00
	Rodriguez, Carmen Consultant		"		" "	250.00
	Del valle, Antonio Consultant		"		" "	250.00
	ABC Co. - Technical Assistance		X		1,000.00	1,000.00
	XYZ Co. - Educational Auditor		X		2,000.00	2,000.00
Materials & Supplies						
	Library Materials			12 mos.	@ 60.00	720.00
	Textbooks (not school library books)					250.00
	Aduiovisual Materials (not equipment)					125.00
	Teaching Supplies					100.00
Travel						
	Local travel			900 mi.	@ .10	90.00
	Conference 2 days; 30 partic. Travel			5,000 miles	@ .10	500.00
	Per diem			60 days	@ 10.00	600.00
	Special trips (Washington & ret.)			2	@ 100.00	200.00
	Consultants Travel			5,000 miles	@ .10	500.00
	Per diem			25 days	@ 10.00	250.00
Other Expenses						
	Mimeograph Machine [2]			12 mos.	@ 9.00 per month	108.00
					Total Budgeted Amount	$41,878.00

[1] These rates are in accordance with generally accepted schedules.

[2] Purchase Cost $600.00. Rental Cost, Project Period $324.

EXPENDITURE ACCOUNT NO. 800 - Fixed Charges

EXPENSE CLASS	NAME AND TITLE, PURPOSE, OR ITEM	PROJECT TIME FULL	PROJECT TIME PART	QUANTITY	SALARY, RENTAL OR UNIT COST	AMOUNT BUDGETED
Salaries (Fringe Benefits) Professional						
	1. Social Security 5%					$ 1,675.00
	2. Pension 6%					2,010.00
	3. Workmen's Compensation 2%					670.00
Non-professional						
	1. Social Security 5%					208.00
	2. Workmen's Compensation 2%					83.00
Contracted Services						
	Rental of space to house the project. This space will be rented from a private source and the management and rental of the space will have no connection with that of the public school system.			12 mos.	200.00	2,400.00
				Total Budgeted Amount		$ 7,046.00

EXPENDITURE ACCOUNT NO. 1230 - Capital Outlay (Equipment only)[1]

Description of Item	Quan.	Unit Rental Cost per month	Project Period Rental Cost	Unit Purchase Cost	Total Cost
Double pedestal desks	2	$5.00	$360.00	$156.00	$312.00
Swivel chair	2	2.50	180.00	58.00	116.00
Secretarial desks	2	5.50	396.00	185.00	370.00
Steno chairs	2	1.00	72.00	25.00	50.00
Dictating machine	1	8.00	288.00	249.00	249.00
			Total Budgeted Amount		$1,097.00

1 This schedule should include such items as teaching machines, furniture, machinery, vehicles, TV, film and slide projectors, etc., but not materials such as textbooks, films, records, library materials, and teaching supplies, which are covered in other expenditures accounts (200, 300, and 400).

EXPENDITURE REPORT OF FEDERAL FUNDS

General

1. Estimated Expenditure Report - A report of estimated expenditures of funds authorized for the current budget period is required as part of an application for funding of a succeeding budget period. A continuation application with Estimated Expenditure Report must be submitted to arrive 60 days prior to the end of the budget period.

2. Final Expenditure Report - A final report of expenditures of funds authorized for expenditures during a budget period must be filed within 90 days after the end of each budget period. To qualify for Federal participation, all obligations must be liquidated within 90 days after the ending date of the period specified on the official accounting records maintained for the project grant.

How to Complete the Form

Enter the Project Number, Grant Number, and the name of the State.

PART I EXPENDITURES (other than construction)

Check the appropriate box to indicate whether the report is Estimated or Final and show the beginning and ending date of the budget period for which a report of expenditures is being made. The dates entered for the budget period should agree with the dates shown on the Notification of Grant Award.

Expenditures should be classified according to function, as specified in OE-22017, "Financial Accounting for Local and State School Systems" (lines 1 through 13), and entered in the appropriate expense classification column. For Estimated Expenditure Report, entries should include actual expenditures (disbursements and unliquidated obligations) from the beginning date of the budget period to the date the continuation application is submitted plus your best estimate of expenditures that will be incurred from the date of the request to the end of the budget period. For Final Expenditure Report include disbursements during the budget period plus obligations incurred during the period and liquidated within 90 days after the end of the budget period.

Enter totals of expenditure accounts in column 10, and in line 14. Complete line 15 and column 11 using information from negotiated grant budget.

PART II SUMMARY - AUTHORIZATIONS, EXPENDITURES, AND BALANCES OF THE TITLE VII, ESEA FUNDS

Show dates of budget period for which report is being made and indicate whether the report is Estimated or Final by checkmark in the appropriate box.

1. Amount Authorized for Expenditures - Record on line 1 the amounts authorized for Expenditures as shown in the negotiated budget for the period and recorded on line 15, column 11 of PART I. Complete lines 1a, 1b, and 1c from information contained in the Notification of Grant Award for this budget period. For periods subsequent to the initial budget period, entries in these lines should reflect adjusted amounts. (See 3 below)

2. Expenditures During Budget Period - Indicate on line 2 the total expenditures reported on line 14, column 10 of PART I.

3. Unexpended Balance of Funds - The differences between amounts authorized for expenditure and (a) estimated expenditures (Estimated Expenditure Report), or (b) final expenditures (Final Expenditure Report) will be shown on this line. Unexpended balances of funds will be disposed of as follows:

   A. Continuation Grants: If satisfactory progress is being made toward the accomplishment of project goals, authorization will be given to utilize the unexpended balance of grant funds awarded for the prior budget period for activities of the succeeding budget period. The amount awarded for the succeeding period will be the difference between the total negotiated cost of activities for the period and the estimated unexpended balance of funds remaining from the prior period. Upon receipt of the final report of expenditures for a budget period, the award for the succeeding period will be adjusted in accordance with any differences between estimated and actual expenditures.

   B. Termination of Project: Upon completion of a project, any unexpended balance of Title VII ESEA funds shall be returned to the Office of Education. (In the event Federal cash received for the final period does not equal the amount authorized for expenditure, the amount refunded should be the difference between Federal cash received and expended for final period.) Make checks payable to the Office of Education, and identify program and grant number.

PART III CUMULATIVE TOTALS - GRANT AWARDS AND CASH RECEIVED SINCE INCEPTION OF PROJECT

Complete only for Final Expenditure Report for budget period. Enter on line 1 the cumulative total of amounts awarded (as distinguished from amounts authorized for expenditure) for the project. Show in line 2 the cumulative total of cash received from the U.S. Office of Education for the project.

.....

Signatures of Project Fiscal Officer and Project Director - Proposed Budget Summaries and Estimated/Final Expenditure Reports must be signed by both officials before they can be accepted by the U.S. Office of Education.

CHAPTER SEVEN

REPORTING REQUIREMENTS

The following reports are required for all Title VII, ESEA bilingual education programs. Refer to the sections of this manual where necessary for further information regarding each report.

I. Quarterly Program Status Report: see attached blank form, sample completed copy, and instructions for preparation.

II. Independent Educational Accomplishment Audit Report: see the subject paper in Chapter III.

III. Estimated Expenditure Report: to be submitted with the Continuation Application; see Chapter VI: Budget Requirements, (page 148)

IV. Final Expenditure Report: a report of actual expenditures must be submitted for each budget period. Five copies of the Final Expenditure Report must be submitted no later than 90 days after the end of each budget period to the U.S. Office of Educati and the number requested to the State educational agency. See Chapter VI: Budget Requirements. (page 148)

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

BILINGUAL EDUCATION PROGRAM, ESEA TITLE VII QUARTERLY STATUS REPORT

(Elementary and Secondary Education Act of 1965, as amended, P.L. 89-10)

IMPORTANT Read instructions on reverse before preparing this report.

FORM APPROVED
O.M.B. NO. 51-R0797

PROJECT NUMBER

STATE

SUBMISSION: Within 10 days after end of each calendar quarter, prepare and mail original and 3 copies of this report to: Director, Bilingual Education Program, U.S. Office of Education, Bureau of Elementary and Secondary Education, 400 Maryland Ave., S.W., Washington, D.C. 20202.

GRANTEE(S)

FOR QUARTER ENDING

PROJECT TITLE

NEGOTIATED BUDGET
$

EXPENDITURES TO DATE
$

A. STATUS OF PROJECT AS A WHOLE			ENTER 1, 2 OR 3 *(See Legend below)* SCHEDULE	ENTER 1, 2 OR 3 *(See Legend below)* OVERALL STATUS
1. STAFF RECRUITMENT				
NO. OF POSITIONS	FILLED	VACANT		
FULL-TIME				
PART-TIME				
2. STAFF DEVELOPMENT				
3. DEVELOPMENT OR PROCUREMENT OF SPECIAL BILINGUAL EDUCATIONAL MATERIALS				
4. PROCUREMENT OF SUPPORTING MATERIALS, SUPPLIES AND EQUIPMENT				

A. STATUS OF PROJECT AS A WHOLE *(Continued)*	ENTER 1, 2 OR 3 *(See Legend below)* SCHEDULE	OVERALL STATUS
5. STUDENT ACHIEVEMENT		
6. PARTICIPATION		
STUDENT ENROLLMENT		
STUDENT ATTENDANCE		
PARENT ADVISORY GROUPS		
7. EVALUATION		
8. INDEPENDENT EDUCATIONAL ACCOMPLISHMENT AUDIT		

B. EXPLANATION OF ENTRIES UNDER SCHEDULE AND OVERALL STATUS COLUMNS *(Continue on separate sheet, if necessary)*

C. PROGRAM CHANGES *(Continue on separate sheet, if necessary)*

D. OTHER PROJECT DEVELOPMENTS *(Optional)* *(Continue on separate sheet, if necessary)*

TYPED NAME AND TITLE *(or position)* OF PROJECT DIRECTOR OR ACTING DIRECTOR	SIGNATURE	DATE

LEGEND

FOR SCHEDULE COLUMN:
1 - On schedule.
2 - Behind schedule but not so much so that important activities must be dropped or substantially reduced in scope.
3 - So far behind schedule that an activity is likely to be or has been substantially impaired.

FOR OVERALL STATUS COLUMN:
1 - Project objectives or expectations are being met satisfactorily.
2 - Some deficiencies, but none which are critical.
3 - Serious deficiencies have occurred, or are likely to occur.

OE FORM 4487, 9/70 REPLACES OE FORM 4487, 1/70, WHICH IS OBSOLETE

BILINGUAL EDUCATION PROGRAM
ESEA TITLE VII

INSTRUCTIONS FOR PREPARATION OF QUARTERLY PROGRAM STATUS REPORT *(OE Form 4487)*

PURPOSES OF REPORT

To *(1)* identify and focus attention on actual or potential problems and *(2)* advise U.S. Office of Education of the general status of the project and anticipated or completed changes that have not been otherwise reported. Long, detailed reports are not required. However, since the process of preparing and reviewing this report is expected to provide the basis for critical remedial action which may be needed, project directors should take special care to prepare these reports candidly and on time.

EXPLANATION OF ITEMS

Grantee(s), Project Number and Title: Items 2, 4, and 9 of most recent grant award *(Notification of Grant Award, OE Form 5232).*

Quarter Ending: Date of calendar quarter just completed, i.e., 3/31/__, 6/30/___, 9/30/___, or 12/31/__.

Negotiated Budget: Total amount of Federal funds authorized for this budget period.

Expenditures to Date: Total disbursements *(payments made, checks issued)* plus unliquidated obligations *(purchase orders issued, contracts made, or any binding commitment for which payment has not been made);* see section on **Funding Policy and Fiscal Concerns** in Manual for Project Applicants and Grantees under ESEA Title VII. If this information is not readily available from the financial office of the local educational agency, it may be provided on the basis of informal memorandum accounts kept by the project staff.

A. Status of Project as a Whole

1. STAFF RECRUITMENT: Number of positions filled and vacant which are assigned on full- or part-time basis to the project as currently approved, regardless of source of funding. Do not include consultants. Full time refers to regular full-time employment as recognized by the grantee agency. Enter appropriate numbers after "filled" or "vacant" as well as in the Schedule column.

2. STAFF DEVELOPMENT: All preservice and inservice training activities for all project personnel.

3. DEVELOPMENT OR PROCUREMENT OF SPECIAL BILINGUAL EDUCATIONAL MATERIALS: Instructional materials particularly pertinent to bilingual education such as: translated or project-developed texts, tests or programmed instruction materials and documents, realia, or relevant audiovisual materials.

4. PROCUREMENT OF SUPPORTING MATERIALS, SUPPLIES AND EQUIPMENT: Items commonly purchased by most school systems such as pencils, paper, typewriters, overhead projectors, and earphones.

5. STUDENT ACHIEVEMENT: Test results and other demonstrations of academic achievement.

6. PARTICIPATION: The degree to which anticipated student enrollment and attendance levels have been reached *(OVERALL STATUS column);* and, in the case of parent advisory groups, the extent to which the projected meeting schedule has been met *(SCHEDULE column)* as well as the quality assessment of parent involvement *(OVERALL STATUS column).*

7. and 8.: Self-explanatory.

B. Explanation of Entries under Schedule and Overall Status Columns

Give brief explanations of all entries under both columns which have designations of 2 or 3. Identify vacancies by position title.

C. Program Changes

Substantial changes, contemplated or completed, which have not been reported elsewhere.

D. Other Project Developments *(Optional)*

Grantee may report other problems or project developments not reported elsewhere, such as details of exceptional progress.

(ENTRIES IN ITALICS ARE SAMPLE ENTRIES ONLY)

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

BILINGUAL EDUCATION PROGRAM, ESEA TITLE VII QUARTERLY STATUS REPORT

(Elementary and Secondary Education Act of 1965, as amended, P.L. 89-10)

IMPORTANT Read instructions on reverse before preparing this report.

FORM APPROVED O.M.B. NO. 51-R0797

PROJECT NUMBER *10-0001-0*

STATE *California*

SUBMISSION: Within 10 days after end of each calendar quarter, prepare and mail original and 3 copies of this report to: Director, Bilingual Education Program, U.S. Office of Education, Bureau of Elementary and Secondary Education, 400 Maryland Ave., S.W., Washington, D.C. 20202.

GRANTEE(S)

San Fernando Board of Education

SAMPLE

PROJECT TITLE

Bilingual Education Program of San Fernando County

FOR QUARTER ENDING *6/30/71*

NEGOTIATED BUDGET *$ 80,000*

EXPENDITURES TO DATE *$79,895*

A. STATUS OF PROJECT AS A WHOLE			ENTER 1, 2 OR 3 (See Legend below) SCHEDULE	OVERALL STATUS
1. STAFF RECRUITMENT				
NO. OF POSITIONS	FILLED	VACANT		
FULL-TIME	*3*	*1*	*2*	
PART-TIME	*4*	*0*	*1*	
2. STAFF DEVELOPMENT			*2*	*1*
3. DEVELOPMENT OR PROCUREMENT OF SPECIAL BILINGUAL EDUCATIONAL MATERIALS			*3*	*3*
4. PROCUREMENT OF SUPPORTING MATERIALS, SUPPLIES AND EQUIPMENT			*1*	

A. STATUS OF PROJECT AS A WHOLE (Continued)	ENTER 1, 2 OR 3 (See Legend below) SCHEDULE	OVERALL STATUS
5. STUDENT ACHIEVEMENT	*1*	*1*
6. PARTICIPATION		
STUDENT ENROLLMENT		*1*
STUDENT ATTENDANCE		*1*
PARENT ADVISORY GROUPS	*1*	*1*
7. EVALUATION	*1*	*1*
8. INDEPENDENT EDUCATIONAL ACCOMPLISHMENT AUDIT	*1*	*1*

B. EXPLANATION OF ENTRIES UNDER SCHEDULE AND OVERALL STATUS COLUMNS *(Continue on separate sheet, if necessary)*

A.1. Bilingual teacher resigned in mid-June to continue his education.

A.2. Spring vacation workshops for aides and community liaison postponed until summer due to unforeseen workload to develop parent advisory groups and to plan and carry out special intercultural arts festival.

A.3. Contractor illness prevented delivery of translated editions of first grade readers.

C. PROGRAM CHANGES *(Continue on separate sheet, if necessary)*

1. *Following up on evaluation team's April recommendations, the _____ second grade reader series will be replaced by the new _____ series which our consultants judge to be more interesting, current, and relevant and which may be used with programmed instruction.*
2. *Summer inservice program revised to include two week workshop to assess and sharpen behavorial objectives for students; project staff, parent group representatives, and consultants will participate.*
3. *Recruitment problems make it necessary to employ 4 part-time classroom aides instead of 2 full-time aides.*

D. OTHER PROJECT DEVELOPMENTS *(Optional)* *(Continue on separate sheet, if necessary)*

The school board has voted funds to extend the bilingual program to the first grades of 3 more schools as a result of the high achievement scores in this project and the demands of the parents of children who will be enrolling next fall in the first grade. The summer inservice program will accomodate 10 first grade teachers in those 3 schools.

TYPED NAME AND TITLE *(or position)* OF PROJECT DIRECTOR OR ACTING DIRECTOR	SIGNATURE	DATE
John R. Doe, Assistant Superintendent	John R. Doe	7/1/71

LEGEND

FOR SCHEDULE COLUMN:
1 - On schedule.
2 - Behind schedule but not so much so that important activities must be dropped or substantially reduced in scope.
3 - So far behind schedule that an activity is likely to be or has been substantially impaired.

FOR OVERALL STATUS COLUMN:
1 - Project objectives or expectations are being met satisfactorily.
2 - Some deficiencies, but none which are critical.
3 - Serious deficiencies have occurred, or are likely to occur.

OE FORM 4487, 9/70 REPLACES OE FORM 4487, 1/70, WHICH IS OBSOLETE

CHAPTER EIGHT

FUNDING POLICY AND FISCAL CONCERNS

I. DEFINITIONS

A. Project

A project is an identified program of activity which has been approved by the U.S. Commissioner of Education under Title VII of the Elementary and Secondary Education Act.

B. Project Period

The project period is the total period of time, not exceeding five years, for which a project may receive Federal financial support.

C. Budget Period

The budget period is a specified period of time within the project period, generally not exceeding 12 months, for which funds are requested. Budget and expenditure reports are prepared on the basis of budget periods.

D. Grant

A grant is the amount awarded to support a project for the initial budget period.

E. Continuation Grant

A continuation grant is the amount awarded for any succeeding budget period. The continuation grant is determined by anticipated needs, funds remaining from the previous grant, the availability of Congressional appropriations, and the degree to which satisfactory progress has been made in achieving the project's stated objectives, as determined by the U.S. Office of Education.

II. AVAILABILITY OF FUNDS FOR APPROVED PROJECTS

Federal appropriations made available for grants to local educational agencies are obligated by the Office of Education at the same time the grant is issued. Federal appropriations so obligated remain available for expenditure by such local educational agencies during the period for which the grant is awarded.

III. EFFECTIVE DATE OF APPROVED PROJECT

The grantee is cautioned not to expend funds prior to the effective date of an approved project. The effective date of an approved project is the date specified in the grant instrument, i.e., the Notification of Grant Award. The grant award instrument is executed by the Grants Officer on behalf of the Federal Government. Upon acceptance of the grant award, the applicant is authorized to request funds consistent with the negotiated budget and the terms and conditions specified in the grant. However, prior to the effective date of an approved project, it is possible to contract for personal services to be performed on or after the effective date of the approved project.

IV. EXPENDITURE OF GRANT FUNDS

With the exception of commitments for personal services, for services performed by public utilities, for travel, and for rental of facilities, funds are considered expended by a local educational agency when binding commitments are made.

V. ELIGIBLE EXPENDITURES

To be eligible for Federal financial participation, an expenditure must:

(1) have been incurred during the budget period for which the expenditure was authorized by the Notification of Grant Award;

(2) if an obligation, be liquidated within 90 days after the end of a budget period, and be adjusted to the amount finally paid;

(3) conform to the terms and conditions of the grant;

(4) be clearly identifiable as additional expenditures incurred as a result of the Title VII program.

VI. ACCOUNTING BASIS

All grantees must use the obligation basis of accounting in maintaining fiscal records and reporting expenditure of grant funds, except for expenditures for personal services, for services performed by public utilities, for travel, and for rental of facilities. Expenditures in these categories will be entered on the basis of the date the service was rendered, the travel performed, or the facility used.

VII. ALTERATION OF PROJECTS

A. Program Changes

No substantive changes in the purposes of the program of a project may be made without prior written approval from the Program Officer and the appropriate Grants Officer in the U.S. Office of Education. Substantive program changes include the modification of program objectives or the major alteration of activities designed

to achieve the stated objectives. Requests for such changes, including an explanation and justification for each change, should be submitted to the appropriate OE Program Officer at least 30 days prior to the beginning date of the proposed changes. At least one copy should be sent to the State educational agency.

B. Transfer of Funds

A grantee may transfer funds between any direct cost categories in the negotiated budget to assure the progress of the project. However, no increases may be made in the "travel," "equipment", or "alteration" categories without prior written approval of the Grants Officer. In addition, no changes may be made in the budget which would not permit the implementation of the project as originally approved.

Request for increases in the "travel", "equipment", or "alteration" categories, including an explanation and justification for each change, should be submitted to the appropriate OE Program Officer prior to actions resulting in increases. At least one copy of the request should be sent to the State educational agency.

A request to increase funds in the "travel", "equipment", or "alteration" categories must identify the expense accounts to be decreased by the transfer of funds and show that the total amount of the negotiated budget would not be affected by the

proposed change. As an illustration, a transfer of funds from "non-professional salaries" and "materials and supplies" to "travel" would require the following:

Account	Negotiated Budget	Transfer Request	Proposed Budget
Travel	$1,600	+$500	$2,100
Non-professional Salaries	2,600	- 300	2,300
Materials and Supplies	2,900	- 200	2,700
	$7,100		$7,100

C. Extension of Project Period

The project period may be extended by the grantee for a period not to exceed 3 months when progress under a grant is delayed and the extension is necessary to assure adequate implementation or completion of the project. However, a letter should be sent to the appropriate OE Program Officer indicating the grantee's intent to extend and the new termination date. Extensions for more than 3 months require the written approval of the Grants Officer. Written requests for such extensions should be made to the Program Officer, and a copy sent to the State educational agency.

D. Supplemental Funds

A grant for a budget period may be supplemented if it is determined that the funds approved are inadequate to complete the activities budgeted for the period. Supplemental funds become a part of the grant for that budget period. Requests for

supplemental funds supported by budget information and justification should be submitted to the OE Program Officer, and a copy should be sent to the State educational agency.

VIII. CONTRACTING

A grantee may enter into a contract with another organization to provide technical assistance under the grant if the assistance to be so provided is specified clearly in performance terms in the contract and if the agreement or contract has been approved in writing by the OE Program Officer and the Grants Officer. Such an agreement or contract will be acceptable only if the grantee retains the responsibility for supervision and administrative control of the project. A contract between the grantee and another organization to perform a major portion of the project or to share in its operation or management generally will provide, among other things, for:

(1) Maintenance of separate accounts and records;

(2) Adherence to ESEA, Title VII Regulations, grant terms and conditions, and instructions in this manual;

(3) Submission of expenditure reports to the local educational agency;

(4) Availability of records to representatives of the U.S. Office of Education and the State agency.

IX. EQUIPMENT

A. Acquisition of Equipment

Equipment needed for the project will be acquired either by purchase or by rental, whichever method represents the more economical use of Federal funds. If the equipment is rented, the applicant should consider securing a rental-purchase agreement to cover the possibility of eventual purchase. To permit maximum use, equipment and materials should be ordered promptly after receipt of the award. They must not be ordered if the scheduled delivery falls within 60 days of the expiration date of the budget period.

B. Bidding Procedures for Equipment and Materials

Bidding for the purchase of equipment and materials will be conducted according to applicable State and local rules. In the absence of such rules, procedures established for purchases amounting to more than $1,000 should require: (a) at least three quotations, and (b) award to the lowest bidder or to the bidder with the most suitable equipment and materials.

C. Title to Equipment

Title to property acquired under this program shall be vested in and retained by a public agency. The public agency must make reasonable provisions for the maintenance and repair of equipment. Such equipment may not be sold or exchanged for a

different type of equipment before the expiration of its useful life or the end of the project period and its extensions, whichever occurs first.

X. PAYMENT PROCEDURES

To obtain Federal funds, grantees must submit forms OE-5141, Quarterly Estimated Requirements for Federal Cash, and OE-5140, Monthly/Quarterly Report of Disbursements of Federal Cash. These forms are generally sent with the Notification of Grant Award. Instructions for completing the forms are printed on the back. Samples of these forms follow this section. The Report of Disbursements of Federal Cash is to be submitted as a monthly report and is due in the Office of Education by the 10th day of the following month. The forms must be sent to the Fiscal Services Branch, Finance Division, Office of the Commissioner, U.S. Office of Education, Washington, D.C. 20202. A copy is to be sent to the OE Program Officer and to the State educational agency. The forms need not be submitted for awards of $10,000 or less, since only one payment will be made.

XI. REDUCTION IN GRANTS

Toward the end of each Federal fiscal year, grantees whose projects will terminate on or before June 30 will be asked to review their needs for Title VII funds and to report any amount which will not be needed for the successful completion of the

project. Upon notice of the grantee, the amount of the grant will be reduced to an amount consistent with the grantee's needs. This process will usually take place during the fifth year of operation of the project. It also applies to the end of the developmental phase in the case of grantees who received money for development after the preliminary round of competition but whose formal proposals were not selected for funding.

XII. RECORDS

A. Grant Transactions

The grantee must assure proper disbursement of, and accounting for, Title VII funds through careful fiscal control and fund-accounting procedures. The financial accounting system should provide ready access to information about individual financial transactions as well as summaries of information about groups of financial transactions. The grantee shall maintain a record of transactions for each approved grant. The Record of Grant Transactions on page 187 is an example of a form which could be used in establishing and maintaining such records and in preparing the necessary expenditure reports. Use of this form permits the local educational agency to know the nature of purchases made, the dates of purchase orders, and the dates and exact amounts of final payments. Each entry can be easily related to the basic document, which should be readily available for review at the local level.

Important items to remember are:

--Entries must be made daily as the transactions occur.

--A separate record should be maintained for each grant.

--Grantees must maintain separate ledger accounts. (A sample of a form which could be used in recording and summarizing expenses for each functional account is given on page 189.)

B. Supporting Documentation

Files of supporting documents, including purchase orders, work orders, contracts, itemized invoices, and correspondence relating to the use of grant funds should also be maintained separately or otherwise identified so that all costs under the project may be immediately related to the approved project and grant document during auditing.

For example, if the grantee employs persons also involved in other positions apart from the project, salaries must be prorated according to the amount of time each individual actually devotes to the approved project. A before-the-fact statement must estimate the time that such person will devote to the program, and an after-the-fact statement of the time he actually devoted to the program must be signed by the responsible official. These documents must be available at the time of the audit to support salary claims.

Receipt of materials and equipment purchased must be documented. In many cases, receiving reports will be used. A notation on the invoice, signed by an appropriate official, should state that the goods were received in good condition and in the quantities indicated on the invoice.

C. Maintenance of Equipment Inventories

Inventories shall be maintained on all items costing $100 or more per unit, for the expected useful life of the equipment or until the equipment is disposed of, whichever occurs first. OE-2109, Property Guide - Property Accounting for Local and State School Systems, is a guide to property accounting for local school agencies.

D. Disposal of Records

Records shall be retained by the grantee as follows:

(1) General rule. Subject to the provisions of Sec. 123.26 of the Regulations, each grantee shall maintain records which are accessible and intact for 5 years after the close of the budget period in which final expenditures are made, or until the grantee is notified that such records are not needed for program administrative review, whichever occurs first.

(2) Questioned expenditures. The records pertaining to any claim or expenditure which has been questioned at the time of audit shall be maintained until necessary adjustments have been

reviewed and cleared by the U.S. Department of Health, Education, and Welfare.

XIII. FINANCIAL REPORTS

For each budget period of project activity two reports of expenditures are required: One is required 60 days prior to the expiration of budget period showing actual expenditures from the beginning of the budget period to the date of submission plus an estimate of expenditures to the end of the period (Estimated Expenditure Report OE 4491-2); the other is required 90 days after the end of the budget period or when all obligations have been liquidated, whichever occurs first, showing all disbursements during the budget period plus obligations liquidated after the end of the budget period (Final Expenditure Report OE 4491-2).

When a contractor is involved, two Final Expenditure Reports are required: (1) a report prepared by the grantee showing all expenditures related to the negotiated budget; (2) a report prepared by the contractor showing all costs under the contract, by expense class and functional category where applicable, in a format consistent with the Expenditure Report of Federal Funds.

XIV. AUDITING

A. Audit of Project Activity Records

Each grantee shall make appropriate provisions for the auditing of project expenditure records; and such records,

as well as the audit reports, shall be made available to Federal auditors. Auditing may be done either by the State or by appropriate auditors of the local educational agency. When a regular annual fiscal audit is not conducted, the grantee must arrange for an audit by qualified accountant. Where normal audit procedures and schedules are in effect, the audit of Title VII projects should be conducted simultaneously with other audit programs. Fiscal audit programs should be developed in accordance with generally accepted auditing standards, and with regard to Federal policies (as well as State or local policies and procedures) governing the use of grant funds. In addition to the usual accounting records and documents, the local educational agency must make available to the auditor the following information:

(1) Elementary and Secondary Education Act, Title VII.

(2) Regulations

(3) Manual for Project Applicants and Grantees

(4) Approved ESEA Title VII Project Application

(5) Grant Award, Negotiated Budget, and Grant Terms and Conditions

(6) Expenditure Reports of Federal Funds.

The audit report must include separate financial schedules or statements identifying receipts and expenditures applicable to Title VII, including most of the following items:

(1) Background

(a) Grant award number, period, total amount authorized for expenditure, and location

(b) Statement concerning any contract with other organizations to perform components of project work

(c) Scope of audit

(d) References to State regulations, minutes of meetings of board of education or board of directors, or other directives pertinent to the audit findings

(2) Statement concerning grant funds, including receipts, disbursements, and balance on hand for the period under audit

(3) Auditor's statement of project expenditures, including appropriate comments on any deviations from negotiated budget, and grantee's expenditure report to the U.S. Office of Education

(4) Summary of audit findings (including audit exceptions and disposition, as well as a statement on adequacy or inadequacy of system and procedures), including comments of project officials

(5) Names and titles of project representatives, board of directors, and contractor representatives contacted by auditor

(6) Auditor's certification.

Copies of that section of the fiscal audit report pertinent to ESEA Title VII projects must be transmitted to the State

educational agency, in accordance with established State practice for the submission of audit reports, where they will be available for review by Federal auditors.

Fiscal audit programs and workpapers must be available for review by representatives of the U.S. Office of Education, who may wish to determine the method and extent of tests, examinations, and other techniques used in conducting the audit. Copies of local audit reports must be available at the project site.

B. Specific Fiscal Audit Considerations

For audits of local agencies, it is essential that specific procedures be developed to verify that:

(1) Funds received and disbursed by the local agency were properly accounted for;

(2) Payments reported by the local agency were actually made to the vendors, contractors, and employees, and conform to applicable laws and regulations, including procedure requirements;

(3) Refunds, discounts, etc., were properly credited to the specific programs as reductions of the gross expenditures;

(4) Payments are supported by adequate evidence of the delivery of goods or performance of services;

(5) Obligations included in the report of expenditures were actually incurred in accordance with the regulations, during the budget period for which the expenditure was claimed and, upon liquidation, were adjusted properly for any differences;

(6) Expenditures for personal services, for services performed by public utilities, for travel, and for rental of facilities included in the report of expenditures were actually incurred in accordance with the regulations during the budget period for which the expenditures were claimed;

(7) The same item is not reported as an expenditure for two or more budget periods, e.g., obligation in one period and payment in another;

(8) Adequate equipment records and controls are maintained;

(9) Prorated expenditures, such as salaries, travel, etc., are divided correctly between two or more programs administered by an agency, and that the basis of such division is reasonable, equitable, and substantiated;

(10) Federal funds from one program are not used for matching purposes under another Federal program except as specifically authorized, and that the same expenditures are not claimed for matching purposes under more than one Federal program;

(11) Unexpended Federal funds advanced or overpaid are properly accounted for in accordance with instructions from the U.S. Office of Education.

C. Audit Exceptions

An audit exception is a determination by an appropriate authority that an item questioned by the auditor is not properly chargeable to the program, and should be disallowed. The U.S. Commissioner of Education determines the allowance or disallowance of items in the U.S. Office of Education programs which are questioned by the auditor.

XV. OFFICE OF EDUCATION SERVICES AVAILABLE IN THE AREAS OF FISCAL CONTROL, ACCOUNTING, AND AUDITS

The U.S. Office of Education has program and administrative personnel who may be available to local agencies for technical advice and assistance in the areas of fiscal control, accounting, and audits. This Office of Education staff may be of assistance in the formulation of sound financial management practices which will enable agencies handling ESEA Title VII funds to account readily for funds and to minimize fiscal adjustments resulting from Federal post-audits.

XVI. FUNDING POLICY AND PROCEDURES

A. Proposed Budget Summary

The applicant will provide an estimate of financial requirements for the support of the project by budget periods.

B. Negotiation of Grant

As soon as practicable after approval of a project by the Commissioner, the Grants Officer will be requested to negotiate a grant for the first budget period. Negotiation is that process by which a legal and mutually satisfactory grant arrangement is made between the applicant and the U.S. Office of Education. This process transcends a mere final examination of estimated costs.

The Grants Officer collaborates with the OE Program Officers to reach agreement with the applicant concerning project activities and Federal support. The resulting grant instrument (Notification of Grant Award) states the conditions under which the grant is made by the U.S. Office of Education. The amount of the initial grant will cover the negotiated cost of all activities projected for the first budget period.

C. Funding Procedures

Approximately 90 days before the end of each budget period, the grantee will be requested to submit an application for a continuation grant. This application must reach the U.S. Office of Education 60 days before the budget period's termination date. Subject to satisfactory progress toward the achievement of project goals, continuation grants will be negotiated prior to the expiration of each budget period.

Scheduled activities not completed in one budget period which are rescheduled for the succeeding period must be included in the

budget for that period to qualify for funds. Since program difficulties are frequently encountered during the initial budget period, this budgeting process is of critical importance to the continual funding of all project activities.

The Grants Officer, after negotiating with the grantee, will issue a grant award document for the succeeding budget period. The amount granted for the succeeding period will be the difference, if any, between the budget negotiated for the succeeding period and unexpended funds from the previous budget period. The grantee will be instructed to expend completely the remaining funds from the previous budget period before expending funds granted for the succeeding period.

The grantee should liquidate obligations within 90 days after the end of each budget period. A report of actual expenditures must be filed as soon as all obligations have been liquidated but not later than 90 days after the end of each budget period. The grant award for the succeeding budget period will be increased or decreased to reflect any difference between estimated and actual expenditures reported for the previous budget period.

OE-5140 (REV. 2/67)

BUDGET BUREAU NO. 51-R0621
APPROVAL EXPIRES 6/30/71

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

FINANCE BRANCH

MONTHLY/QUARTERLY REPORT OF DISBURSEMENTS OF FEDERAL CASH

INSTRUCTIONS: Please complete and submit two copies of this report by the 10th day of each month following report period. (See Reverse Side)

1. REPORT FOR PERIOD ENDING: _____, 19____

3. NAME OF PROGRAM

2. CONTRACT OR GRANT NUMBER

4. NAME AND ADDRESS OF CONTRACTOR OR GRANTEE:

DISBURSEMENT ITEMS	AMOUNT OF DISBURSEMENTS
5. Disbursements of Federal cash previously reported	$
6. Disbursements of Federal cash for current reporting period	
7. Federal cash on hand at end of current reporting period	
8. *(Federal cash accounted for)* TOTAL	$

9. REMARKS:

10. SUBMITTED BY: *(Type name and title)*

11. SIGNATURE OF REPORTING OFFICIAL

12. DATE:

INSTRUCTIONS FOR COMPLETING MONTHLY/QUARTERLY REPORT OF DISBURSEMENTS OF FEDERAL CASH

This report serves as either a monthly or quarterly report of disbursements of Federal cash under a specific Office of Education contract or grant. While it is the OE policy to make monthly payments as requested by the contractor on Form OE-5141, "Quarterly Estimated Requirements for Federal Cash," adjustments will be made in a subsequent payment if this report indicates significant differences between actual disbursements as compared to amounts previously estimated, resulting in an excess of Federal cash on hand.

1. Report for Period Ending: Show ending month and year of period for which report is made.

2. Contract or Grant Number: Enter number as shown on the contract or grant award document signed by the Office of Education contracting or grants officer.

3. Name of Program: Show program title as it appears on the Office of Education contract or grant award document.

4. Name and Address of Contractor or Grantee: Enter name and address of contractor or grantee.

5. Disbursement of Federal Cash Previously Reported: Enter the cumulative total of Federal cash previously disbursed and reported for this contract or grant.

6. Disbursements of Federal Cash for Current Reporting Period: Enter total Federal cash disbursed during the current reporting period. Include any adjustments for periods previously reported and explain any significant amounts in Item 9.

7. Federal Cash on Hand at End of Current Reporting Period: Enter Federal cash on hand at end of current reporting period.

8. Total: Enter total of Items 5, 6, and 7.

9. Remarks: Grantee should include an explanation of the cash balance shown in Item 7 if it is greater than the next 30 day requirements.

10. Submitted by: Type or print the name and title of authorized official (project director, or the authorized representative of the grantee).

11. Signature of Reporting Official: To be signed by authorized official in consultation with the project fiscal officer.

12. Date: Enter date this report is signed.

This form and all inquiries pertinent thereto should be addressed to:

Chief, Fiscal Services Section, Finance Branch, U.S. Office of Education
400 Maryland Avenue, S.W., Washington, D.C. 20202

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

QUARTERLY ESTIMATED REQUIREMENTS FOR FEDERAL CASH

BUDGET BUREAU NO. 51-R0622
APPROVAL EXPIRES: 6/30/71

INSTRUCTIONS: Please complete and submit 2 copies of this report 30 days prior to the beginning of each quarter. *(See reverse side)*

1. REPORT PERIOD FOR QUARTER ENDING

2. CONTRACT OR GRANT NUMBER

3. NAME OF PROGRAM

4. NAME AND ADDRESS OF CONTRACTOR OR GRANTEE

5. DATE ESTIMATED CASH IS NEEDED *(Show month and day)*	6. ESTIMATED AMOUNT REQUIRED
	$
TOTAL →	$

7. REMARKS

8. SUBMITTED BY *(Type name and title)*

9. SIGNATURE OF REQUESTING OFFICIAL

10. DATE

ACCOUNTING DATA *(Program offices will complete items marked with an asterisk (*)) (See reverse for explanations)*

RECORD TYPE (1)	* FISCAL YEAR (2)	* APPROPRIATION SYMBOL / * COMMON ACCOUNTING NO. (3-9)	* EFFECTIVE DATE (Mo., Day, Year) (10-15)	* REF. CODE (16-18)	* OBLIGATION/ DOCUMENT NUMBER (19-28)	* REF. CODE (29-31)	* CURRENT DOCUMENT NUMBER (32-41)	* OBJECT CLASS (42-45)
5								
5								
5								

* AMOUNT (Dollars and cents) (46-57)	* NEGATIVE CODE	* ADMIN./ PROGRAM (58)	* SCI./ NON-SCI. (59)	* PRIMARY VENDOR NUMBER (60-74)	* SECONDARY VENDOR NUMBER (75-89)	* MANAGEMENT ACCOUNT CODE (90-99)

* MANAGEMENT SUB-ACCOUNT CODE (100-113)	TRANSACTION CODE (114-116)	MODIFIER CODE (117)	REVERSE CODE (118)	GENERAL LEDGER ACCOUNTS (119-126)	VOUCHER SCHEDULE NUMBER (127-132)	PROGRAM PLANNING BUDGET CODE (133-140)	BALANCE OF PAYMENTS CODE (141-142)	GOVT./ NON-GOVT. (143)	MACHINE NUMBER (144)

OE FORM 5141, 8/69 REPLACES EDITION OF 7/68 WHICH IS OBSOLETE.

INSTRUCTIONS FOR COMPLETING QUARTERLY ESTIMATED REQUIREMENTS FOR FEDERAL CASH

This report serves as both a quarterly estimate of requirements for Federal cash and a request for monthly payments.

1. Report Period for Quarter Ending: Indicate the applicable calendar quarter for which the report is submitted.

2. Contract or Grant Number: Enter number as shown on the contract or grant award document signed by the Office of Education contracting or grants officer.

3. Name of Program: Show program title as it appears on the Office of Education contract or grant award document.

4. Name and Address of Contractor or Grantee: Enter name and address. If check is to be drawn payable to other than the contractor or grantee as shown, please indicate by an asterisk and state name and address for this purpose under remarks.

5. Date Estimated Cash is Needed: Show month and day by which cash is actually needed. Every effort will be made to see that U.S. Treasury checks will reach the contractor on or immediately prior to date shown. However, contractors and grantees must submit requests promptly and allow for the time required for processing and mailing of checks by the Federal Government.

6. Estimated Amount Required: Enter total estimated amounts required for disbursement by the grantee during each month of the quarter. The grantee must not adjust these amounts by the Federal cash on hand reported on Form OE-5140. If it is estimated that no funds will be required for disbursement during a particular month, enter "0" for that month. NOTE: If check is to be issued to someone other than the grantee, please give name and address.

7. Remarks: Include any comments or information with respect to unusual cash needs or trends that would be helpful to the Office of Education in processing this request for payment.

8. Submitted by: Type or print the name and title of the project director or an authorized representative of the grantee.

9. Signature of Requesting Official: To be signed by authorized official.

10. Date: Show date the report is signed.

This form and all inquiries pertinent thereto should be addressed to:

Chief, Fiscal Services Branch, Finance Division, U.S. Office of Education
400 Maryland Avenue, SW., Washington, D.C. 20202

EXPLANATIONS

FISCAL YEAR.--The last digit of the fiscal year to which the obligation is to be charged.

APPROPRIATION SYMBOL.--The numerical symbol assigned by the Treasury Department.

COMMON ACCOUNTING NUMBER.--A seven-digit number *(without FY prefix)* assigned to a particular program for recording transactions. FY 1970 CAN Book.

EFFECTIVE DATE.--The date of signature of authorizing official.

REFERENCE CODE.--A three-digit code to identify the type of document. These codes are listed in Chapter 4-90 of the DHEW Accounting Manual.

OBLIGATION/DOCUMENT NUMBER.-- A ten-digit obligation number will be used. Adjustments to obligations must cite the original obligation number.

REFERENCE CODE.--A three-digit code to identify the current document. Used in the same manner as the reference code for the obligation above.

CURRENT DOCUMENT NUMBER.--An identifying number of the document being processed.

OBJECT CLASS.--Enter object and sub-object class codes listed in Chapter 4-50 of the DHEW Accounting Manual.

AMOUNT.--Amount of transaction in dollars and cents.

NEGATIVE CODE.--Enter a minus sign if the transaction is a negative amount.

SCIENCE-NON-SCIENCE.--Enter "1" for Science or "2" for Non-Science.

PRIMARY VENDOR.--A six-digit number to identify the primary vendor/customer. Current OE vendor codes will be used for FY 1970.

SECONDARY VENDOR.--Will be used to identify secondary recipient when information is available.

MANAGEMENT ACCOUNT.--A ten-digit field, reserved for the present.

MANAGEMENT SUB-ACCOUNT.--A fourteen-digit field, reserved for the present.

ADMIN./PROGRAM.--Enter "A" for administrative or "P" for program.

Exhibit I

RECORD OF GRANT TRANSACTIONS

Local agency _____ State _____

Federal program _____ Project No. _____ Date approved _____ Amount approved $5,000

Grant No. _____

OBLIGATIONS

Obligation reference		Item or Name of Vendor	Account No.[1]	Unpaid	Paid	Date paid or canceled	Check No.	Available balance
Date (1)	Number (2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
Sept. 3, 1965	497	Standard School Supply.	230c	$647.50				$4,352.50
Sept. 15, 1965	736	School Equipment Co.	1230c	2,500.00				1,852.50
Sept. 30, 1965		September payroll	213		$300	Sept. 30, 1965	355	1,552.50
Oct. 15, 1965	740	Standard school supply.	230c	150.00				1,402.50
Oct. 18, 1965	497	do	230c	(647.50)	640	Oct. 18, 1965	749	1,410.00
Oct. 30, 1965		October payroll	213		450	Oct. 31, 1965	738–40	960.00
Oct. 31, 1965	736	School Equipment Co.	1230c	(2,500.00)				3,460.00
Totals				150.00	1,390			3,460.00

The available balance (col. 9) will be the amount of the previous balance minus the net amount obligated as shown in column 5 and minus the amount paid in column 6. The amount liquidated should be entered in column 5 as a negative figure (item No. 497). To record and report cancellation of a purchase order, the amount originally recorded as an obligation will be reversed by a negative entry in column 5 with a new date entered in column 1, which shows the date of the cancellation. The effect of this will be to increase the available balance.

[1] See project budget, account numbers, item 10, pt. II.

NOTE

This report shows that the total disbursements to date were	$1,390
Unpaid obligations, for 1 outstanding purchase order	150
Total funds, used or obligated	1,540
Balance still available for new payrolls or purchase order	3,460
Total originally approved	5,000

175

-187-188

EXHIBIT II

SUBSIDARY LEDGER ACCOUNT OF EXPENSES

Federal Program _____ Project No. _____ Grant No. _____ Account No. _____

Obligation Reference Date	No.	Salaries Professional	Salaries Non-professional	Contracted Services	Materials & Supplies	Travel	Other Expenses
September 3, 1965		$ 250.00	$ 50.00				
September 30, 1965	497				$ 647.50		
October 15, 1965	740				150.00		
October 18, 1965	497				(7.50)		
October 30, 1965		400.00	50.00				
Totals		$ 650.00	$ 100.00		$ 790.00		

NOTE
This account shows that the total expenses to date for reporting were:

Salaries	
Professional	$ 650.00
Non-professional	100.00
Materials & Supplies	790.00
Total Expenses	$1540.00

APPENDIX A

GRANT TERMS AND CONDITIONS

1. Definitions
2. Scope of the Project
3. Limitations on Costs
4. Allowable Costs
5. Accounts and Records
6. Payment Procedures
7. Reports
8. Printing and Duplicating
9. Termination
10. Extension of Project and Budget Period
11. Applicability of State and Local Laws and Institutional Procedures
12. Copyright and Publication
13. Acknowledgment and Disclaimer in Publication
14. Patent Rights
15. Travel
16. Equipment
17. Service Contracts
18. Health and Safety Standards
19. Compensation
20. Labor Standards
21. Equal Employment Opportunity
22. Use of Consultants
23. Clearance of Forms
24. Grant Related Income and Investment Income
25. Change of Key Personnel

1. Definitions

As used in the grant documents relating to this award, the following terms shall have the meaning set forth below:

a. "Commissioner" means the U.S. Commissioner of Education.

b. "Grantee" means the agency, institution, or organization named in the grant as the recipient of the grant award.

c. "Grants Officer" means the employee of the U. S. Office of Education who has been delegated authority to execute or amend the grant document on behalf of the Government.

d. "Program Officer" means the employee of the U. S. Office of Education who is responsible for monitoring the project of the Grantee to assure compliance with the terms and conditions of the grant.

e. "Project Director" is the person responsible for directing the project of the Grantee.

f. "Project" is the identified activity or program approved by the Commissioner for support,

g. "Project Period" means the length of time specified in the Notification of Grant Award for which a project is approved.

h. "Budget Period" means the period of time (within or coterminous with the project period specified in the Notification of Grant Award), during which project costs may be charged against the grant. A budget period is generally twelve (12) months but may be for a different period of time, if appropriate.

i. "Budget" means the amount of funds approved by the Office of Education for designated services, materials, and other items.

2. Scope of the Project

The project to be carried out hereunder shall be consistent with the proposal as approved for support by the Commissioner and referred to in the Notification of Grant Award and shall be performed in accordance with this approved project proposal. No substantive changes in the program of a project shall be made unless the Grantee submits (at least thirty days prior to the effective date of the proposed change) an appropriate amendment thereto, along with a justification for the change, and this amendment is approved in writing by the Grants Officer.

3. Limitations on Costs

a. The total costs to the Government for the performance of the grant shall not exceed the amount set forth in the Notification of Grant Award or any appropriate modification thereof. The Government shall not be obligated to reimburse the Grantee for costs incurred in excess of such amount unless and until the Grants Officer shall have notified the Grantee in writing that such amount has been increased and shall have specified in a revised Grant Award a revised amount which shall thereupon constitute the revised total cost of performance of the grant.

b. When and to the extent that the amount set forth in the grant has been increased, costs incurred by the Grantee prior to notification of such increase, in excess of the previous amount, shall be allowable to the same extent as if such costs had been incurred after notification of such increase in the amount.

c. The Grantee may transfer funds among the various cost categories in the negotiated budget to the extent necessary to assure the effectiveness of the project, except that, no transfers may be made which alter the approved project.

d. Funds for the production of motion picture films for viewing by the general public are not authorized until prior written approval is received from the Grants Officer.

e. The limitation on costs stated in paragraph "a" above shall automatically be increased to cover the cost of allowance for additional dependents not specified in the Notification of Grant Award.

4. Allowable Costs

a. Expenditures of the Grantee may be charged to this grant only if they: (1) are incurred subsequent to the effective date of the project indicated in the Notification of Grant Award, which shall be no earlier than the date upon which the award document is signed by the Grants Officer, and (2) conform to the approved project proposal.

b. Subject to paragraph (a) allowability of costs incurred under this grant shall be determined in accordance with the principles and procedures set forth in the documents identified below, as amended prior to the date of the award.

(1) Exhibit X-2-65-1 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is an institution of higher education; or

(2) Chapter 5-60 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is a State or local Government agency; or

(3) Exhibit X-2-68-1 of the Department of Health, Education, and Welfare Grants Administration Manual, if the Grantee is a non-profit institution, as defined therein.

c. In accordance with the policy of the Department of Health, Education, and Welfare, if the Grantee has an audited indirect cost rate that has been approved by the Division of Grants Administration Policy, this approved rate may be applied to both the Federal and non-Federal share of allowable direct costs of the project. When an indirect cost rate is applied to either the Federal or non-Federal share of project costs, no item normally included in the Grantee's indirect cost pool (such as supervision, accounting, budgeting, or maintenance) shall be listed as a direct cost of the project. Procedures for establishing Indirect Cost Rates are covered in Department of Health, Education, and Welfare brochures: OASC-1, A Guide for Educational Institutions; OASC-5, A Guide for Non-Profit Institutions; OASC-6, A Guide for State Government Agencies, **and OASC-8, A Guide for Local Government Agencies.**

d. Indirect costs on contracts for educational training programs will be allowed at the lesser of the organizational indirect costs or 8% of total direct costs, including stipends and dependency allowances.

5. Accounts and Records

a. Accounts

The Grantee shall maintain accounts, records and other evidence pertaining to all costs incurred, and revenues or other applicable credits acquired under this grant. The system of accounting employed by the Grantee shall be in accordance with generally accepted accounting principles generally used by State or local agencies or institutions of higher education, or nonprofit organizations, as appropriate, and will be applied in a consistent manner so that the project expenditures can be clearly identified.

b. Cost Sharing Records

The Grantee's records shall demonstrate that any contribution made to the project by the Grantee is not less, in proportion to the charges against the grant, than the percentage specified in the grant or any subsequent revision thereof.

c. Examination of Records

All records directly relating to transactions under this grant are subject to inspection and audit by the Department of Health, Education, and Welfare and by the General Accounting Office at all reasonable times during the period of retention provided for in paragraph (d) below.

d. Disposition of Records

Except as provided in Paragraph (e), all pertinent records and books of accounts related to this grant in the possession of the Grantee shall be preserved by the Grantee for a period of three (3) years after the end of the budget period, if audit by or on behalf of the Department has occurred by that time; or if audit by or on behalf of the Department has not occurred by that time, the records must be retained until audit or until five (5) years following the end of the budget period, whichever is earlier.

e. Questioned Expenditures

Records relating to any litigation or claim arising out of the performance of this grant, or costs and expenses of this grant to which exception has been taken as a result of inspection or audit shall be retained by the Grantee until such litigation, claim, or exception has been disposed of.

6. Payment Procedures

a. To obtain Federal funds, the Grantee must submit Forms 5141, Quarterly Estimated Requirements for Federal Cash, and OE-5140, Monthly/Quarterly Report of Disbursements of Federal Cash. Instructions for completing the forms are printed on the reverse side. The report of cash disbursements is to be submitted as a monthly report and is due by the 10th day of the following month.

Inquiries regarding payments shall be addressed to the Director, Finance Division, U.S. Office of Education, 400 Maryland Avenue, SW., Washington, D. C. 20202.

b. Any funds remaining unobligated at the expiration of the project period shall within ninety (90) days of the date of expiration of the said period be refunded by check made payable to the United States Office of Education. All refunds must reference the Grant Number shown on the Notification of Grant Award.

7. Reports

The Grantee shall submit such fiscal and technical reports as may be required by the Office of Education, and in the quantity and at the time stated in the report schedule which is set forth in the Special Terms and Conditions.

8. Printing and Duplicating

All printing and duplicating authorized under this grant are subject to the limitations and restrictions contained in the current issue of the U. S. Government Printing and Binding Regulations if done for the use of the Office of Education within the meaning of those Regulations.

9. Termination

a. Grants may be terminated in whole or in part by the Government in the event the Grantee fails to carry out its approved project proposal in accordance with applicable law and the terms of this grant. No grant shall be terminated unless the Grantee has been given reasonable notice and an opportunity to show cause why such action should not be taken, and has been afforded reasonable notice and opportunity for a full and fair hearing.

b. Termination shall be effected by delivery to the Grantee of a written notification thereof, signed by the Grants Officer.

Financial obligations incurred by the Grantee prior to the effective date of the termination will be allowable to the extent they would have been allowable had the grant not been terminated. The Grantee agrees to furnish the Grants Officer within sixty (60) days of the effective date of termination an itemized accounting of funds expended, obligated, and remaining under the grant. The Grantee also agrees to remit within thirty (30) days of the receipt of a written request therefor any amounts found due.

10. Extension of Project Period or Budget Period

When progress under the grant is delayed and circumstances make it necessary to request an extension of either the project period or the budget period, or both, without additional funds, it is the policy of the Office of Education to consider such extensions upon written request. (Where it appears that the activity to be accomplished within the project period or the budget period, or both, will be completed within three (3) months after the expiration date, it will not be necessary to request an extension. However, if it appears that the time required will exceed three (3) months, the Grants Officer should be informed and an extension should be requested.)

11. Applicability of State and Local Laws and Institutional Procedures Regarding Expenditure of Funds

Except to the extent otherwise provided for in this document or any document incorporated herein by reference, nothing herein or therein shall be construed so as to alter the applicability to the Grantee of any State or local law, rule, regulation, or any institutional procedure which would otherwise pertain to the expenditure of funds.

12. Copyright and Publication

a. The term "materials" as used herein means writings, sound recordings, films, pictorial reproductions, drawings or other graphic representations, computer programs, and works of any similar nature produced under this grant. The term does not include financial reports, cost analyses, and similar information incidental to grant administration.

b. It is the policy of the Office of Education that the results of activities supported by it should be utilized in the manner which would best serve the public interest. To that end, except as provided in paragraph (c), the Grantee shall not assert any rights at common law or in equity or establish any claim to statutory copyright in such materials; and all such materials shall be made freely available to the Government, the education community, and the general public.

c. Notwithstanding the provisions of paragraph (b) above, upon request of the Grantee or his authorized designee, arrangements for copyright of the materials for a limited period of time may be authorized by the Commissioner, through the Grants Officer, upon a showing satisfactory to the Office of Education that such protection will result in more effective development of dissemination of the materials and would be in the public interest.

d. With respect to any materials for which the securing of a copyright protection is authorized under paragraph (c), the Grantee hereby grants a royalty-free, nonexclusive and irrevocable license to the Government to publish, translate, reproduce, deliver, perform, use and dispose of all such materials.

e. To the extent the Grantee has the right and permission to do so, the Grantee hereby grants to the Government a royalty-free, nonexclusive and irrovocable license to use in any manner, copyrighted material not first produced in the performance of this grant but which is incorporated in the materials. The Grantee shall advise the Grants Officer of any such copyrighted material known to it not to be covered by such license.

13. Acknowledgement and Disclaimer in Publication

Any publication or presentation resulting from or primarily related to the project being performed hereunder shall contain the following acknowledgment:

> The project presented or reported herein was performed pursuant to a Grant from the U.S. Office of Education, Department of Health, Education, and Welfare. However, the opinions expressed herein do not necessarily reflect the position or policy of the U.S. Office of Education, and no official endorsement by the U.S. Office of Education should be inferred.

14. Patent Rights

a. Policy

In accordance with Department of Health, Education, and Welfare Regulations (45 CFR Subtitle A, Parts 6 and 8), all inventions made in the course of or under any Office of Education grant shall be promptly and fully reported to the Assistant Secretary (Health and Scientific Affairs), Department of Health, Education, and Welfare.

The grantee institution and the principal investigator shall neither have nor make any commitments or obligations which conflict with the requirements of this policy.

b. Determination

Determination as to ownership and disposition of invention rights, including whether a patent application shall be filed, and if so, the manner of obtaining, administering, and disposing of rights under any patent application or patent which may be issued shall be either:

(1) by the Assistant Secretary (Health and Scientific Affairs) whose decision shall be considered as final, or

(2) where the institution has a separate formal institutional agreement with the Office of Education or the Department, by the grantee institution in accordance with such agreement.

Patent applications shall not be filed on inventions under (1) above without prior written consent of the Assistant Secretary (Health and Scientific Affairs) or his representative. Any patent application filed by the Grantee on an Invention made in the course of or under an Office of Education grant shall include the following statement in the first paragraph of the specification:

> "The invention described herein was made in the course of, or under, a grant from the U. S. Office of Education, Department of Health, Education, and Welfare."

c. Reports and Other Requirements

A complete written disclosure of each invention in the form specified by the Assistant Secretary (Health and Scientific Affairs) shall be made by the Grantee promptly after conception or first actual reduction to practice, whichever occurs first under the grant. Upon request, the Grantee shall furnish such duly executed instruments (prepared by the Government) and such other papers as are deemed necessary to vest in the Government the rights reserved to it under this policy statement to enable the Government to apply for and prosecute any patent application, in any country, covering each invention where the Government has the right to file such application.

The Grantee shall furnish interim reports (Annual Invention Statements) prior to the continuation of any grant listing all inventions made during the budget period whether or not previously reported, or certifying that no inventions were made during the applicable period. Upon completion of the project period, the Grantee shall furnish a final invention report listing all inventions made during performance of work on the supported project or certifying that no inventions were made during that work.

d. Supplementary Patent Agreements

The Grantee shall obtain appropriate patent agreements to fulfill the requirements of this provision from all persons who perform any part of the work under the grant, except such clerical and manual labor personnel as will have no access to technical data, and except as otherwise authorized in writing by the Department.

The Grantee shall insert in each subcontract or agreement having experimental, developmental, or research work as one of its purposes, a clause making this provision applicable to the subcontractor and its employees.

e. Definitions

As used in this provision, the stated terms are defined as follows for the purposes hereof:

(1) "Invention" of "invention or discovery" includes any art, machine, manufacture, design, or composition of matter, or any new and useful improvement thereof, or any variety of plant, which is or may be patentable under the Patent Laws of the United States.

(2) "Made" when used in relation to any invention or discovery means the conception or first actual reduction to practice of such invention in the course of the grant.

f. Inventions Resulting from Grants Made in Support of Research by Federal Employees

Inventions resulting from grants made in support of research by Federal employees shall be reported simultaneously to the Assistant Secretary (Health and Scientific Affairs) pursuant to terms of grant and to the employing agency under the terms of Executive Order 10096, as amended.

15. Travel

Travel allowances shall be paid in accordance with applicable State and local laws and regulations and grantee policies. If none of these are applicable, travel shall be done in accordance with Federal Government regulations. No foreign travel is authorized under the grant unless prior approval is received from the Grant Officer. Travel between the United States and Guam, American Samoa, Puerto Rico, the U.S. Virgin Islands, the Canal Zone, and Canada is not considered foreign travel.

16. Equipment

Title to, and accountability for, equipment shall be determined in accordance with Chapter 1-410, Management of Equipment and Supplies Acquired Under Project Grants, of the Department of Health, Education, and Welfare Grants Administration Manual.

17. Service Contracts

The Grantee may enter into contracts or agreements (to the extent permitted by State and local law) for the provision of part of the services under this grant by other appropriate public or private agencies or institutions. Such contract or agreement shall incorporate these grant terms and all other rules and regulations applicable to the program, shall describe the services to be provided by the agency or institution, and shall contain provisions assuring that the Grantee will retain supervision and administrative control over the provision of services under the contract. Services to be provided by contract pursuant to this section shall be specified in the project proposal or in an amendment thereto, and the proposed contract shall be submitted to the Grants Officer and be approved by him in writing.

18. Health and Safety Standards

Whenever the Grantee, acting under the terms of the grant, shall rent, lease, purchase, or otherwise obtain classroom facilities (or any other facilities) which will be used by students and faculty, the Grantee shall comply with all health and safety regulations and laws applicable to similar facilities being used in that locality for such purpose.

19. Compensation

If a staff member is involved simutaneously in two or more projects supported by funds from the Federal Government, he may not be compensated for more than a total of one-hundred percent (100%) time from such Government funds for all projects during any given period of time.

20. Labor Standards

To the extent that grant funds will be used for alteration and repair (including painting and decorating) of facilities, the Grantee shall furnish the Grants Officer with the following:

a description of the alteration or repair work and the estimated cost of the work to be performed at the site;

the proposed advertising and bid opening dates for the work;

the city, county, and State at which the work will be performed; and

the name and address of the person to whom the necessary wage determination and labor standards provisions are to be sent for inclusion in contracts; not later than six (6) weeks prior to the advertisement for bids for the alteration or repair work to be performed. The Grantee shall also include or have included in all such alterations or repairs the wage determination and labor standards provisions that are provided and required by the Secretary of Labor under 29 CFR Parts 3 and 5.

21. Equal Employment Opportunity

With respect to repair and minor remodeling, the Grantee shall comply with and provide for Contractor and Subcontractor compliance with the requirements of Executive Order 11246 as implemented by 41CFR Part 60. The terms required by Executive Order 11246 will be included in any contract for construction work, or modification thereof, as defined in said Executive Order.

22. Use of Consultants

a. The hiring and payments to consultants shall be in accordance with applicable State and local laws and regulations and grantee policies. However, for the use of and payment to consultants whose rate will exceed $100.00 per day, prior written approval for the use of such consultants must be obtained from the Grants Officer.

b. The Grantee must maintain a written report for the files on the results of all consultations charged to this grant. This report must include, as a minimum; (1) the consultant's name, dates, hours, and amount charged to the grant; (2) the names of the grantee staff to whom the services are provided; and (3) the results of the subject matter of the consultation.

23. Clearance of Forms

To permit proper monitoring and clearance, the Grantee is to submit to the appropriate Program Officer, prior to use, five (5) copies of all tests, questionnaires, interview schedules or guides, and rating scales which are to be employed in collecting data from 10 or more individuals or organizations. A brief report of related information (such as purposes of the study, relevance of the data-gathering instruments to these purposes, nature of the sample, number of respondents, burden on respondents, etc.) must accompany the copies of the instruments, in accordance with directions from the Office of Education.

EXCEPTIONS:

a. Copies need not be submitted of conventional instruments which deal solely with (1) cognitive functions or technical proficiency (e.g., scholastic aptitude, school achievement, etc.), (2) routine demographic information, or (3) routine institutional information; but a report of the "related information" (as specified above) concerning the particular data-gathering instrument must be supplied to the Program Officer in order to permit appropriate monitoring and clearance.

b. Ordinary classroom tests employed in the development of a new curriculum or as part of the regular instructional routine, constituting part of the project for which funds are granted, need be neither reported nor submitted; but final tests employed in such a project, serving purposes of evaluation, must be reported; and, if significantly unusual in such essential features as content, directions, form of response, etc., must be submitted in five (5) copies.

24. Grant-Related Income and Investment Income

Income derived by the grantee from activities conducted under the auspices of the activity supported or funded by this grant, other than investment income, is termed "grant-related income." Such income may be produced by the services of individuals or by employing equipment, facilities or general services of the grantee organization. Any such grant-related income earned under this grant is to be used by the grantee to further the purposes of the grant program. If the income cannot be used, it is to be paid by the grantee to the U.S. Office of Education, for deposit as Miscellaneous Receipts in the Treasury.

Interest on other income earned by investment of grant funds is termed "investment income." Any investment income earned by the grantee on funds received, under this grant, in advance of their being earned, are to be paid to the U.S. Office of Education, for deposit as Miscellaneous Receipts in the Treasury.

25. **Change of Key Personnel**

The Project Director and other grant personnel specified by name in the proposal are considered to be essential to the work being performed. If for any reason substitution of a specified individual becomes necessary, the Grantee shall provide timely written notification to the Grants Officer. Such written notification shall include the successor's name, with a résumé of his qualifications.